IMS
AFIS IMS
User Manual

IMS User Manual

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IMS is the application that allows the preparation and submission of irregularity reports to the European Anti-Fraud Office (OLAF). The different modules are now integrated into one clear, harmonised, user friendly system. This manual is meant to describe the features of IMS.	Irregularity Management System (IMS)

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Reference Documents

Ref.	Title	Reference	Version	Date
RD1	How to connect to AFIS Portal using Secure Internet connection	*How to connect to AFIS Portal using Secure Internet connection.pdf*	3.0	07/07/2014
RD2	How to connect to AFIS Portal using CCN	*How to connect to AFIS Portal using CCN.pdf*	2.0	07/07/2014
RD3	AFIS Portal User Manual	*AFIS-APM-UM_EN*	1.1	21/04/2008

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Terms Definition

Term	Definition
AFIS Directory Service	Common service responsible for the provision of user information, application information and reference data.
AFIS Framework	A set of services and applications to support the development, operation and use of AFIS business applications. It takes care of security, user application data, users' organisation structure, application configuration and reference data. It also offers a common look and feel to all applications (APF) and a portal home page presenting all applications a user can access (APM)
Application	The software component identified by the AFIS Framework as a deployable, security unit. Realises specific needs within OLAF overall business scope.
Attachment	A file that may become part of a communication.
Case	A set of communications (Initial and Update) representing a business case about an irregularity discovered.
Communication	May be either Initial or Update and it is used to report an irregularity to OLAF. The Initial communication is related to the creation of the report and the Update communication is related to the additional information that may be included in the report. An Update communication may not be created without the existence of an Initial communication.
Country	The entity holding one or more Reporting Authorities.
Customs Communications Network (CCN)	A set of physical gateways located either in National Administrations or at the Commission premises. These gateways are interconnected through their own communication services (TCP/IP network services), and communicate with the Application Platforms. CCN requires user authentication.
Irregularity	An irregularity represents any infringement of a provision of the European law resulting from an act or omission by an economic operator which has, or would have, the effect of prejudicing the general budget of the European Union (EU), by charging an unjustified item of expenditure to the general budget.
Organisation	The service responsible to report an irregularity case. Organisations are subject to a hierarchical structure. In the terms of the IMS application, Organisations are called Reporting Authorities.
Regulation	The legal document under which a case of irregularity is reported. Regulations, in the terms of the IMS application may be: 498, 1681, 1828, 1831, 1848, PAA and IPA.
User	Entities attached to Organisations and having different roles and rights.
Zero notification	The form used to report the absence of an irregularity case.

Abbreviations and Acronyms

Abbreviation/ Acronym	Description
AFIS	Anti-Fraud Information System
APF	AFIS Presentation Framework (AFIS Framework)
APM	AFIS Presentation Manager (AFIS Framework)
CCI	Code Commun d'Identification
CCN	Customs Communication Network
EAFRD	European Agricultural Fund for Rural Development
EC	European Commission
EU	European Union
IMS	Irregularity Management System
IPA	Instrument for Pre-Accession Assistance
MS	Member State
OLAF	European Anti-Fraud Office (Office Européen de Lutte Anti-Fraude)
PAA	Pre-Accession Assistance
RA	Reporting Authority
tbd	To be determined
XLS	Microsoft Excel file format
XML	Extensible Markup Language

About this Manual

This manual is meant to serve as an orientation tool for all the users of IMS.
It gathers information users should be familiar with in order to be able to exploit the application.
The overall description of the features of IMS, of the way in which users are organised, as well as of the procedures, sequences of steps and tasks implied intend to improve the ease and efficiency of working with the application.
In its larger part, the document contains minute presentations of the functionalities, commands, fields, as well as the way in which users should work with irregularity cases and communications, by using IMS.
For facility and usability purposes, the user of this manual will be addressed throughout the corresponding sections as *you*.

In order to make the best use of this manual, please note the following conventions:

Indicates warnings, preconditions or instructions that have to be strictly followed.
If you see this icon, make sure to read the information written next to it.

Sections or areas on pages are identified by a number in a circle.

Fields on screen, options and buttons are shown in frames or braces.

Specific details of the application interface are highlighted with an arrow and sometimes explained in a rectangle.

1. How to Access IMS

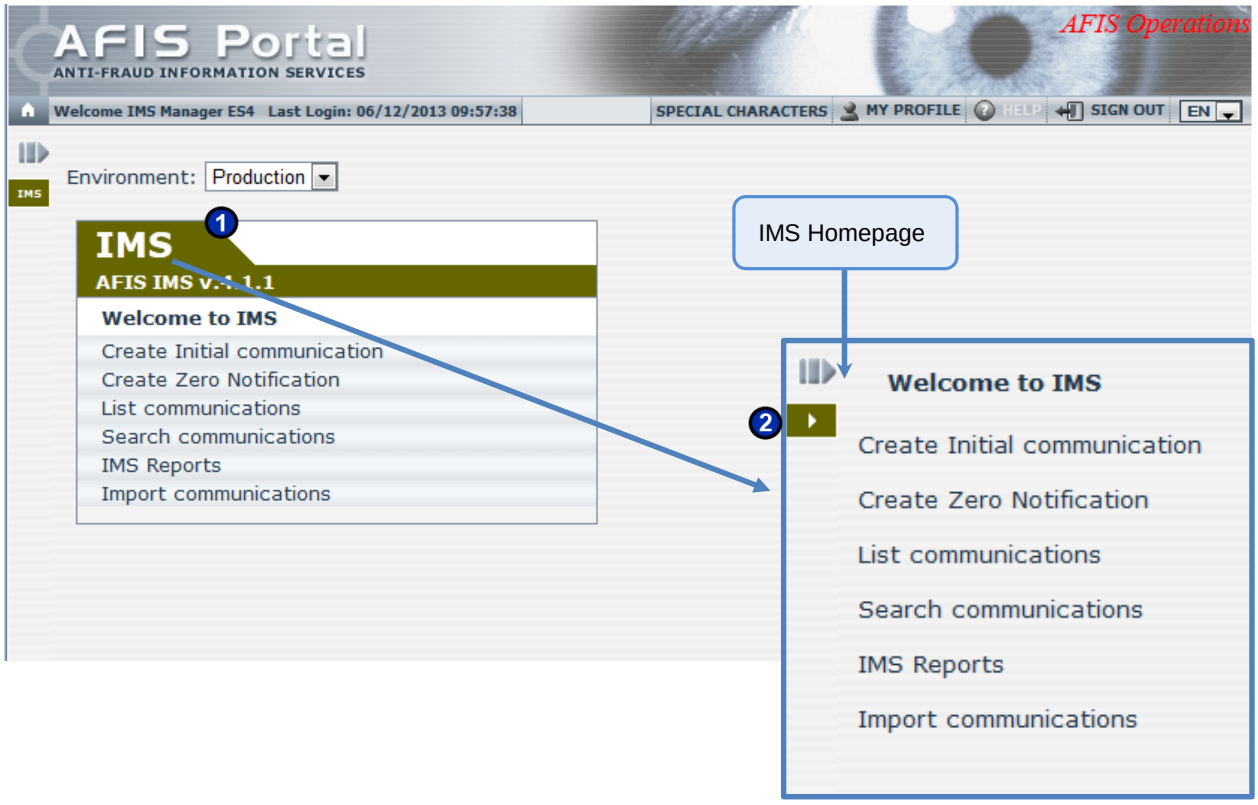


Figure 1: IMS on AFIS Portal

IMS is a Web-based application accessible through the AFIS Portal. You will learn all the needed details about accessing the AFIS Portal from the following document:
'How to connect to AFIS Portal' (RD1) – chapter 7. Logging on to the Portal.

1.1 IMS on AFIS Portal

The screen that appears after you have logged in is user specific and depends on your role. However, all AFIS *home* screens have a number of common features.
The **'AFIS Portal User Manual'** (RD) describes all the constant elements that compose the **AFIS Portal Homepage**.

➔ From the AFIS *home* screen (1), you will access the **IMS Homepage** (2), by clicking the application tab.

1.2 Actions Menu

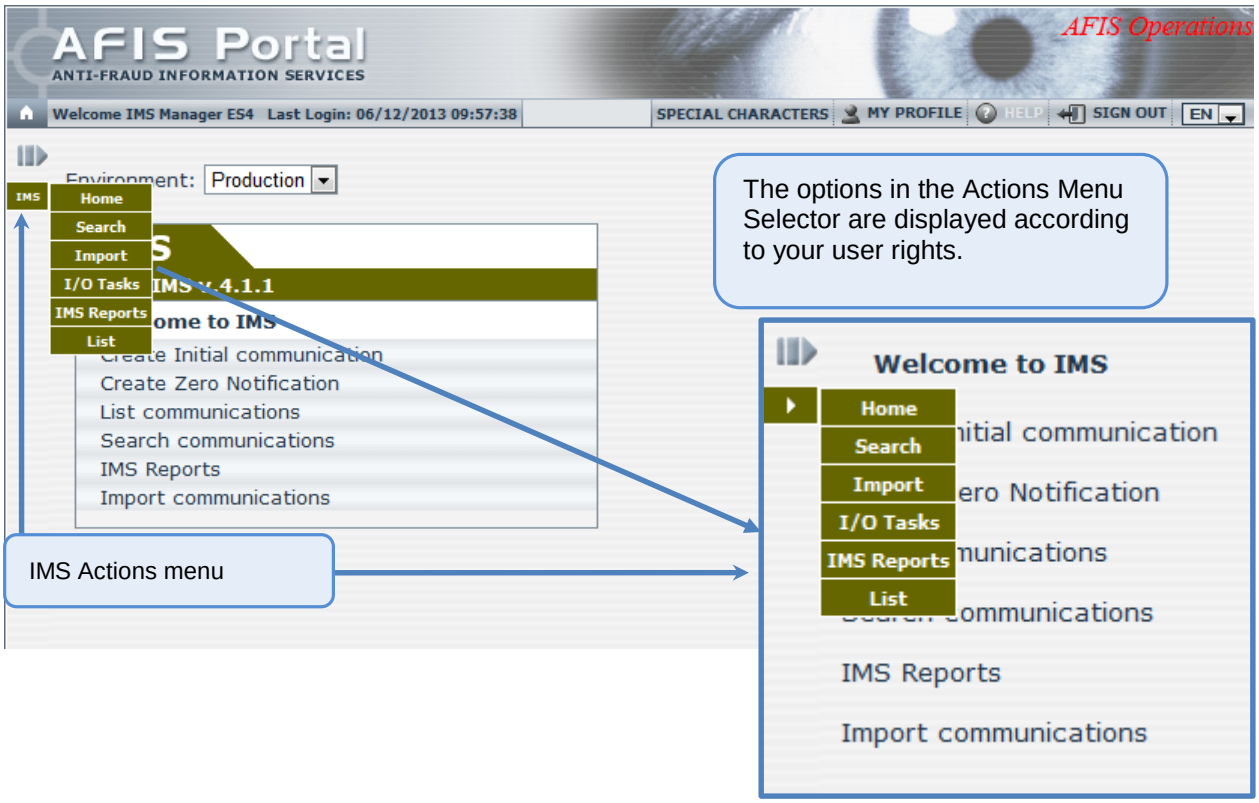


Figure 2: Actions Menu

The **Actions Menu** is available from any page you may be viewing while working with the IMS application. Roll your mouse over the white arrow available on the left of the screen.
This menu contains the list of modules to which you have access, as well as the options **Import** and **Search**. You also have the possibility to consult the Input/Output page (**I/O Tasks**), where you can view the status of the asynchronous import/export tasks the system performed.
The Home link takes you to the IMS Homepage, regardless of where you are in the application.

2. Communication Life Cycle

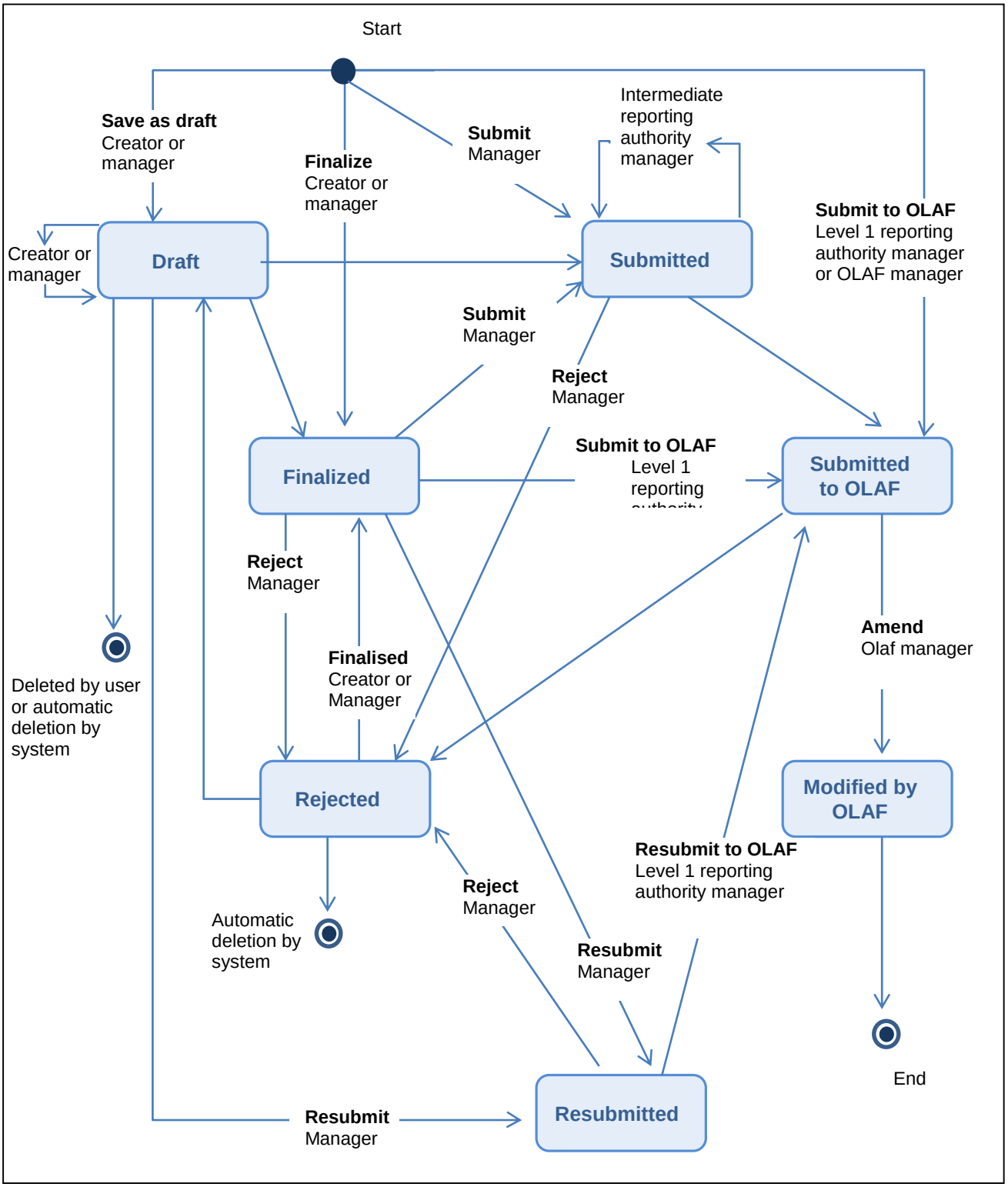


Diagram 1: Complete communication life cycle

The diagram on the left describes the different states a communication can be in from its creation until it is amended by OLAF.

Follow the arrows to walk through the life cycle. In the following sub-chapters we will explain the different steps separately.

2.1 A Creator or Manager Creates a Communication

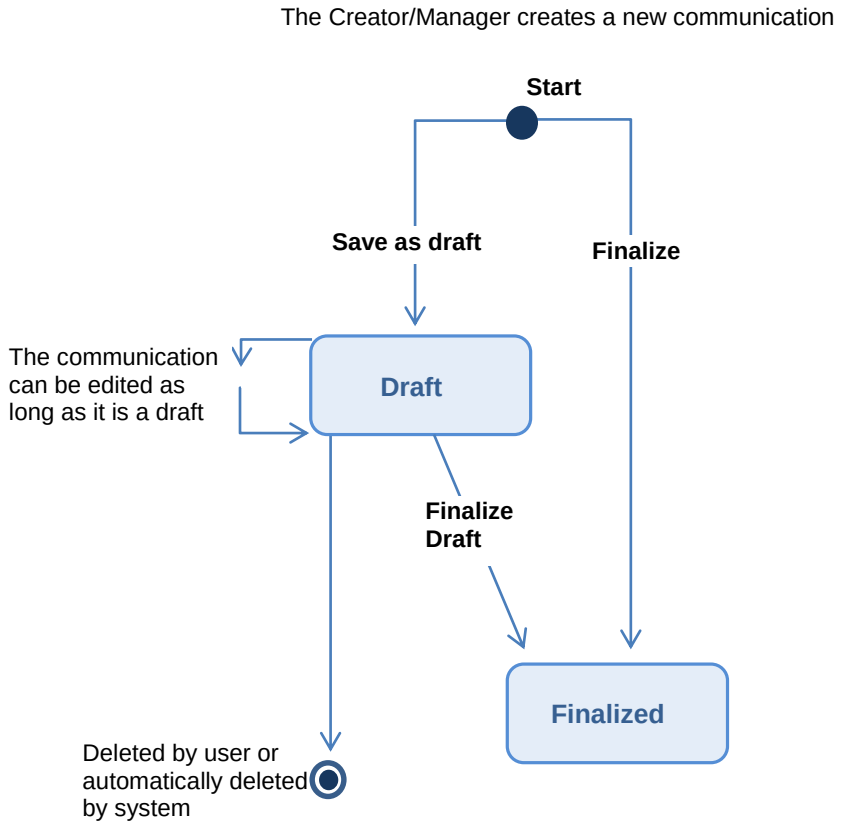


Diagram 2: The Creator/Manager creates a new communication

The life cycle of a communication starts with its creation.

You can create a communication and after adding all the necessary information, finalize it. For more information about finalisation see chapter 4 Validate and Finalize a Communication. A finalized communication has been fully validated and can not be changed anymore.

You can also save your communication as a draft. A communication in 'Draft' status has not been validated; it has just been saved for future use. You can edit your draft until you finalize it. You can also check if your draft is valid by clicking the **Validate** button. See chapter 4 Validate and Finalize a Communication for more information.

2.2 The Manager Submits or Rejects the Communication

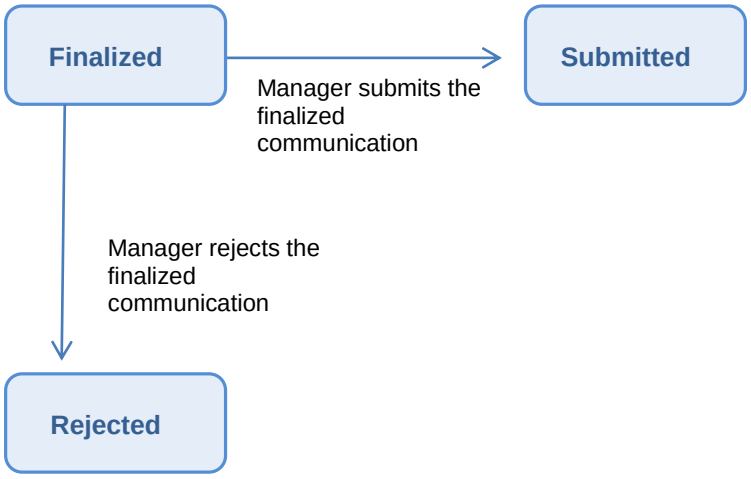


Diagram 3: The Manager submits or rejects the communication

After you finalize a communication, a manager of your organisation can submit it to a parent organisation or to OLAF.

For more information about parent organisations and the reporting structure, see chapter 2.6 Sending Communications to OLAF and the Communication workflow.

The manager can also reject the communication.

If you have manager rights you can directly submit the communications that you have created.

2.3 The Creator Edits and Finalizes the Communication

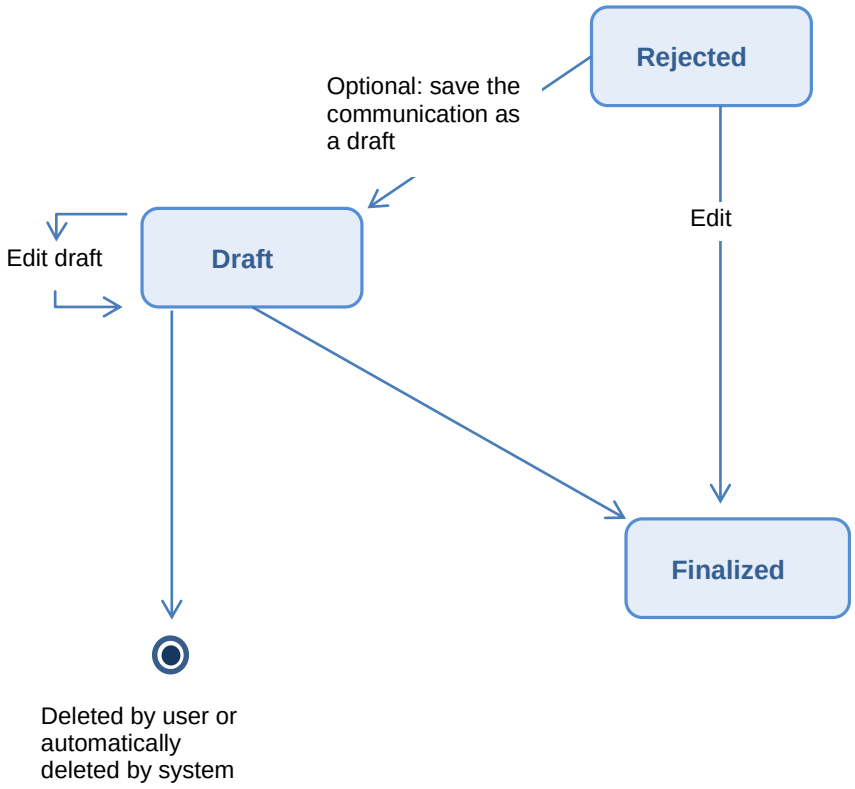


Diagram 4: The creator edits and finalizes the communication

If the manager of the organisation that you are part of rejected your communication, you must edit the communication and finalize it again. The manager will then resubmit it.

To see which communications were rejected, go to the 'List communications' page. All the rejected communications are indicated by the 'Rejected' icon ( ). For more information see chapter 10 List communications.

You can save your rejected communication as a draft or edit it and directly finalize it.
See chapter 5 Edit a Rejected Communication for more information.

2.4 The Manager Resubmits the communication

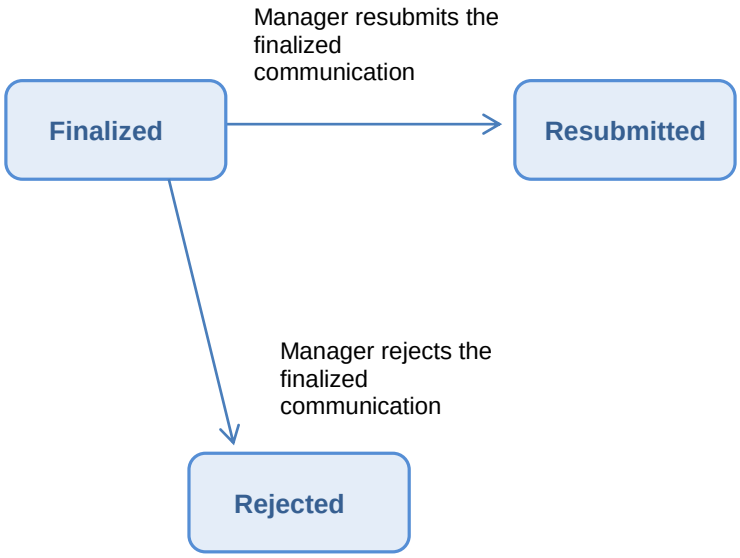


Diagram 5: The manager can either resubmit or reject the communication

Once the rejected communication is finalized, the manager can resubmit the communication or reject it.

If (s)he rejects the communication again, the editor must edit it and finalize it (see 2.3 The Creator Edits and Finalizes the Communication).

2.5 Sending the Communication to OLAF

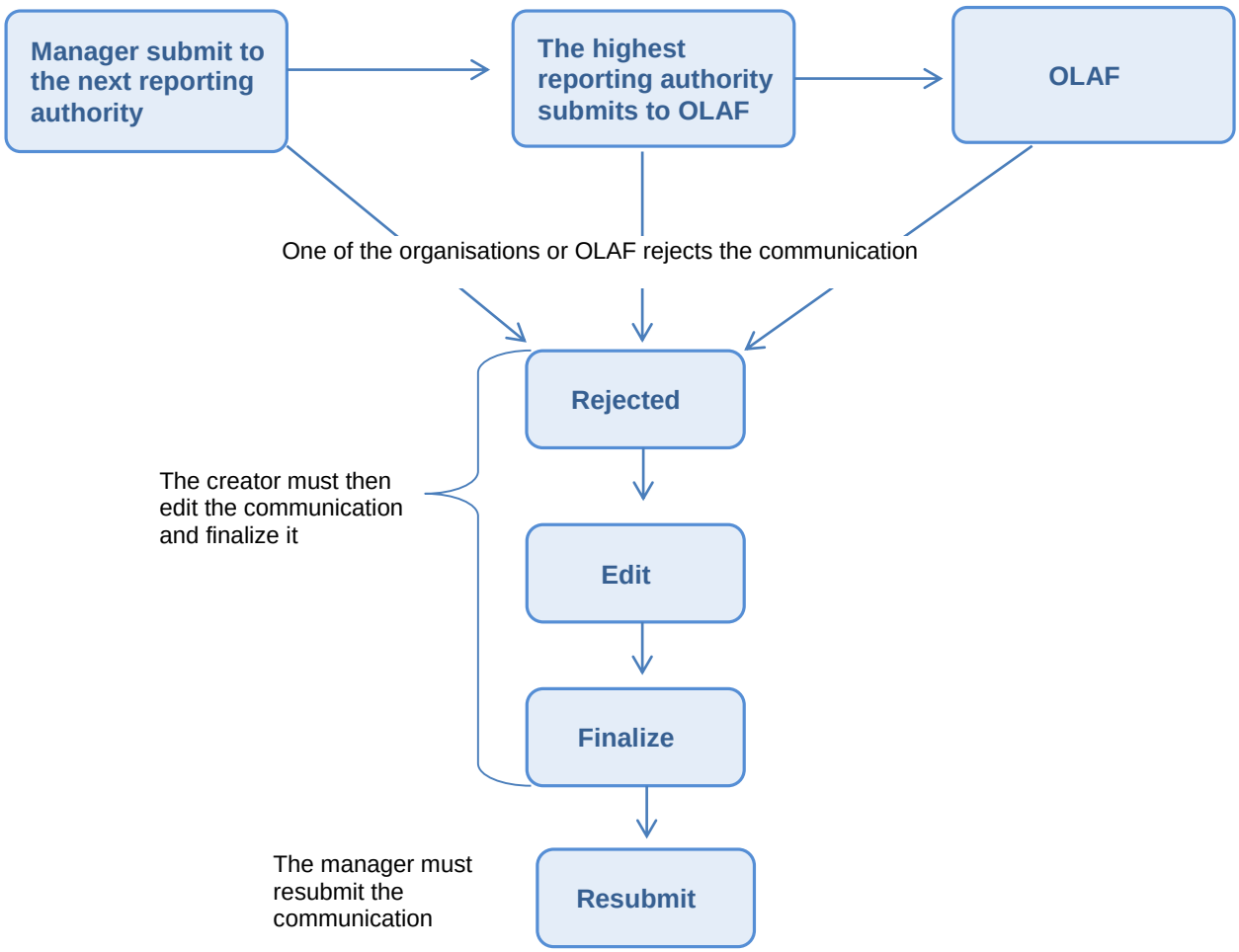

Manager submit to the next reporting authority
The highest reporting authority submits to OLAF
OLAF
One of the organisations or OLAF rejects the communication
Rejected
The creator must then edit the communication and finalize it
Edit
Finalize
The manager must resubmit the communication
Resubmit

Diagram 6: Sending the communication to OLAF

After the communication has been submitted, it will pass through the reporting structure until it is submitted to OLAF.

Your manager will submit the document to the reporting authority that is up one level in the reporting structure. That reporting authority will submit the communication to the next level reporting authority. The reporting authority on the highest level in the reporting structure will submit the communication to OLAF.
If your organisation is the highest reporting authority in the cascade, your manager will submit the communication directly to OLAF.

In the next chapter we will explain the process of submitting communications to OLAF in more detail.

When one of the reporting authorities that must submit your communication, rejects it, the communication is placed back in rejected status. You must then edit and finalize the communication like before (see chapter 2.3 The Creator Edits and Finalizes the Communication). Your organisation's manager must then submit the communication again to the next reporting authority in the cascade. The process of submitting to OLAF will be restarted.

2.6 Sending Communications to OLAF and the Communication workflow

Scenario I

Diagram 7: Communication Workflow (Example 1)

Scenario II

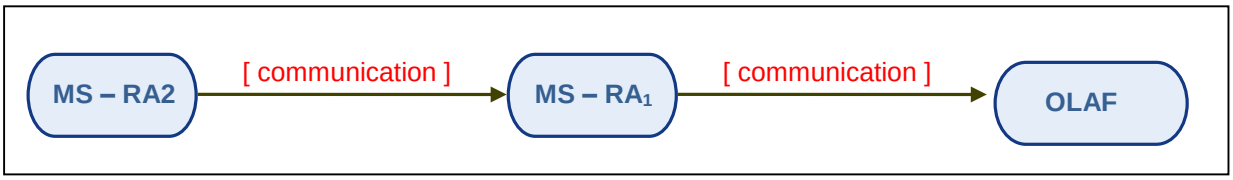


Diagram 8: Communication Workflow (Example 2)

Scenario III

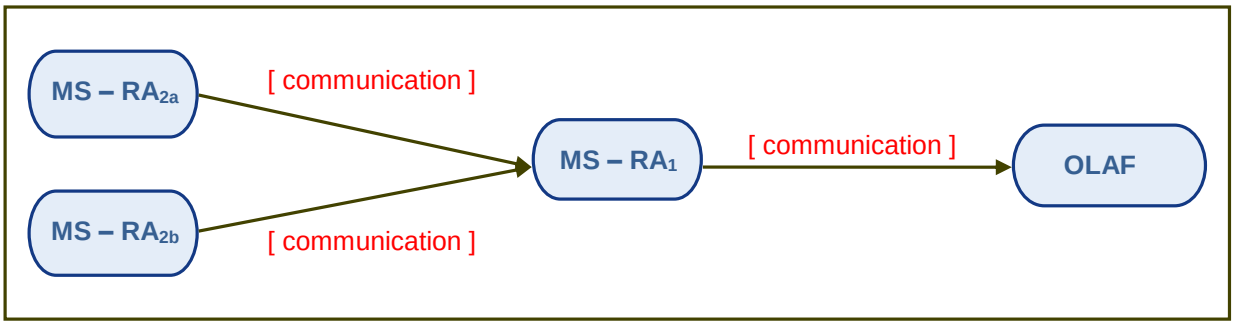


Diagram 9: Communication Workflow (Example 3)

The IMS reporting structure describes the 'route' a communication follows from the creator's organisation until it is submitted to OLAF. The creator's organisation submits the communication to the organisation that is one level higher in the reporting structure until an organisation on the highest level submits it to OLAF.
If the communication is rejected by any organisation in the reporting structure, its status is changed to 'rejected' and the creator of the communication must edit it and finalize it (see chapter 2.3 The Creator Edits and Finalizes the Communication). A manager of the organisation that the creator is part of will then resubmit the communication.
The following scenarios are examples of common communication workflows.

Scenario I

RA_1 (Reporting Authority 1)

- ➔ is the originator of a communication
- ➔ has also the right to send the communication to OLAF (which makes it a *Level-1-RA*)
- ➔ does not have a "parent" RA

Scenario II

RA_2 (Reporting Authority 2)

- ➔ is the originator of a communication
- ➔ does not have the right to send the communication to OLAF
- ➔ has a 'parent' RA to send the communication to (RA_1)

RA_1 (Reporting Authority 1)

- ➔ is the 'parent' Reporting Authority for RA_2
- ➔ is the receiver of the communication sent by RA_2
- ➔ can send this communication to OLAF (which makes it a *Level-1-RA*)
- ➔ does not have a "parent" RA

Scenario III

RA_{2a} (Reporting Authority 2a)

- ➔ is the originator of a communication
- ➔ does not have the right to send the communication to OLAF
- ➔ has a 'parent' RA to send the communication to (RA_1)

RA_{2b} (Reporting Authority 2b)

- ➔ is the originator of a communication
- ➔ does not have the right to send the communication to OLAF
- ➔ has a 'parent' RA to send the communication to (RA_1)

RA_1 (Reporting Authority 1)

- ➔ is the 'parent' RA for RA_{2a} and RA_{2b}
- ➔ is the receiver of the communications sent by RA_{2a} and RA_{2b}
- ➔ can send these communications to OLAF (which makes it a *Level-1-RA*)
- ➔ does not have a 'parent' RA

2.7 The Communication in OLAF

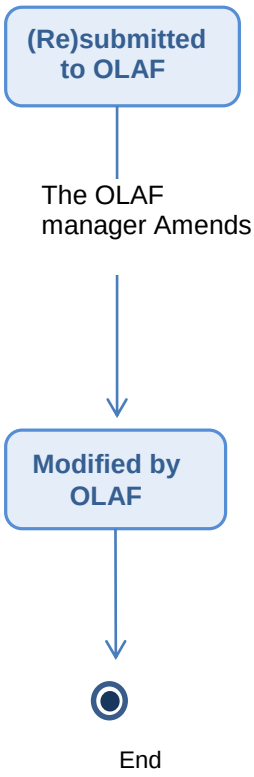


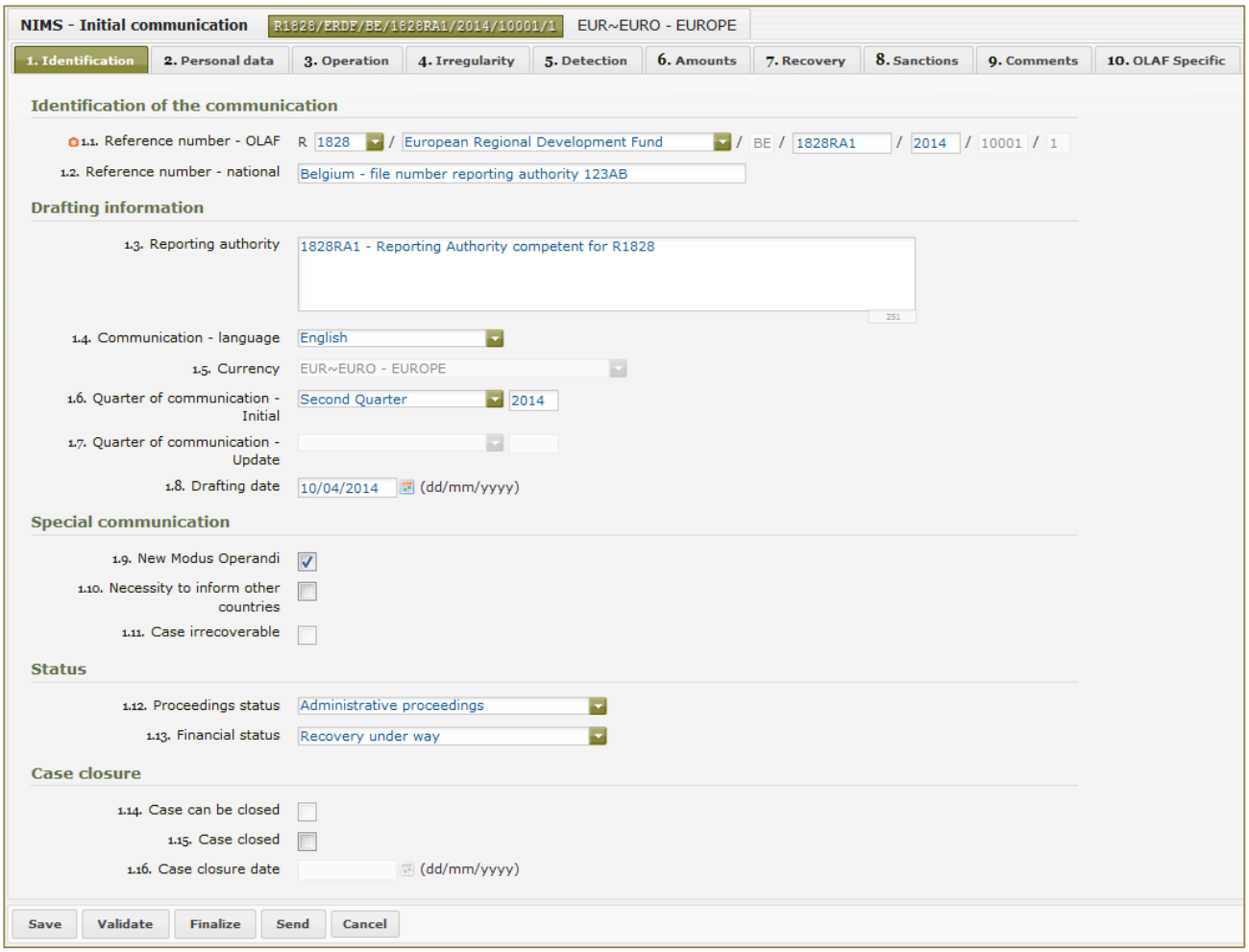
Diagram 10: Communication lifecycle in OLAF

After the communication is submitted to OLAF by the highest level reporting authority, OLAF can amend the communication.

After amending, the communication is placed in the 'Modified by OLAF status'.

The communication life cycle ends with its amendment and/or anonymisation by OLAF.

3. Create a Communication - How to Complete a Report


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Identification of the communication
1.1. Reference number - OLAF
R 1828 / European Regional Development Fund / BE / 1828RA1 / 2014 / 10001 / 1
1.2. Reference number - national
Belgium - file number reporting authority 123AB
Drafting information
1.3. Reporting authority
1828RA1 - Reporting Authority competent for R1828
1.4. Communication - language
English
1.5. Currency
EUR~EURO - EUROPE
1.6. Quarter of communication - Initial
Second Quarter
2014
1.7. Quarter of communication - Update
1.8. Drafting date
10/04/2014
(dd/mm/yyyy)
Special communication
1.9. New Modus Operandi
1.10. Necessity to inform other countries
1.11. Case irrecoverable
Status
1.12. Proceedings status
Administrative proceedings
1.13. Financial status
Recovery under way
Case closure
1.14. Case can be closed
1.15. Case closed
1.16. Case closure date
(dd/mm/yyyy)
Save
Validate
Finalize
Send
Cancel

3.1 Introduction

The European Union (EU) has established a set of funds to finance its policies across the Member States, candidate countries and potential candidate countries. The different regulations oblige countries to provide a wide range of information on irregularities detected. The Irregularity Management System (IMS) serves as handy tool to provide all that information in electronic format.

IMS is built on tab pages to make it possible for you to provide access and digest information in an easy way. Each tab-page is organised in logical sections in which you will find fields to enter relevant information.

Several manuals have been created to support you. All these manuals have the focus on a specific topic. This manual has its focus on the reporting itself. It explains per tab page, per section and per field what kind of information needs to be provided. In other manuals you will find information on for instance the tool IMS-reports, the import and export in excel, a description of all IT-terms and so forth. As mentioned, this manual has its focus on how to complete a communication.

All documentation is published on ALIB and CIRCABC.

General information in bullet points

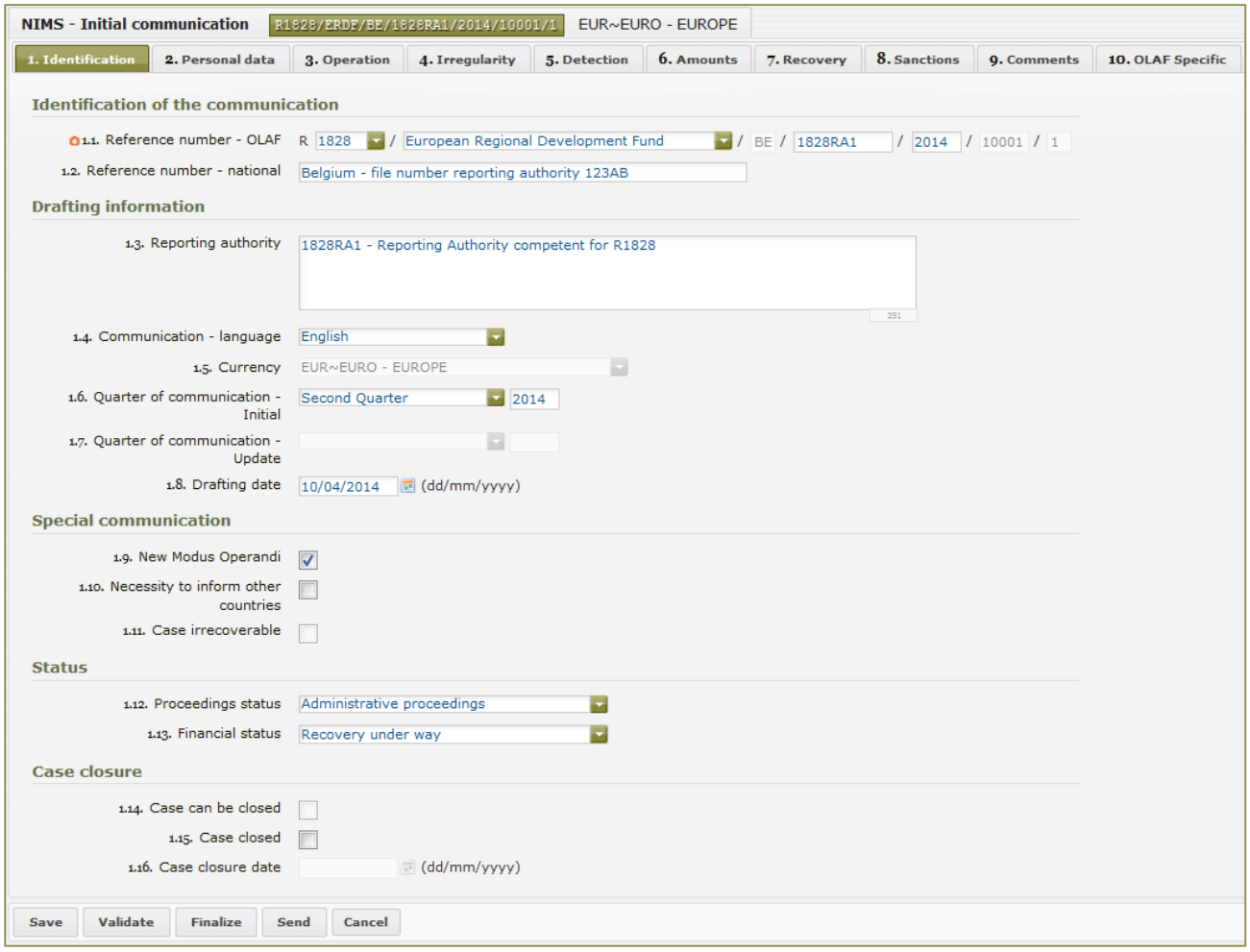
- all irregularities need to be reported unless a derogation is applicable;
- information on irregularity reporting, such as regulations, manuals, questions and answers (Q&A's), lists of Liaison-Officers and so forth can be found on ALIB and CIRCABC;
- translations are based on the feedback received from the Liaison-Officers (LO).
- IMS provides some information automatically (by default). This does not mean that you have to accept it. Most of these fields are editable which means that you can change the information provided.
- IMS applies always the same date format: dd/mm/yyyy
- IMS applies always the same year format: yyyy

Tab pages

IMS contains ten (10) tab pages which follow the logic order of detection, dealing and reporting of irregularities:

1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF

On the following pages, the different tab pages, its sections and fields will be explained. It is meant as guidance for the processing of information in IMS.


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Identification of the communication
1.1. Reference number - OLAF
R 1828 / European Regional Development Fund / BE / 1828RA1 / 2014 / 10001 / 1
1.2. Reference number - national
Belgium - file number reporting authority 123AB
Drafting information
1.3. Reporting authority
1828RA1 - Reporting Authority competent for R1828
1.4. Communication - language
English
1.5. Currency
EUR~EURO - EUROPE
1.6. Quarter of communication - Initial
Second Quarter
2014
1.7. Quarter of communication - Update
1.8. Drafting date
10/04/2014
(dd/mm/yyyy)
Special communication
1.9. New Modus Operandi
1.10. Necessity to inform other countries
1.11. Case irrecoverable
Status
1.12. Proceedings status
Administrative proceedings
1.13. Financial status
Recovery under way
Case closure
1.14. Case can be closed
1.15. Case closed
1.16. Case closure date
(dd/mm/yyyy)
Save
Validate
Finalize
Send
Cancel

3.2 Tab page 1: Identification

Tab page 1. Identification provides general information on the communication itself, such as the reference number, the reporting authority, the currency and so forth.

Section – Identification of the communication

This section contains information which makes it possible to identify the case.

1.1. Reference number – OLAF

The Reference number - OLAF is unique to a specific case and is used to identify a case. The number consists of six (6) sub-parts:

- **RXXXX** – module
- **AA** – fund
- **CC** – country code
- **BDE** – reporting authority
- **YYYY** – reporting year
- **000001** – sequence number

The number is attributed at the moment an initial communication is created. The number becomes definitive as soon as the communication has been finalized. In other words, at the moment you push the button **Finalize**, the reference number becomes definitive which implies that it cannot be changed anymore.

A manager can “definalize” a communication by rejecting it. The communication will then be sent back to the creator and will get again the status “draft”. A communication with the status “draft” can be modified.

Add module

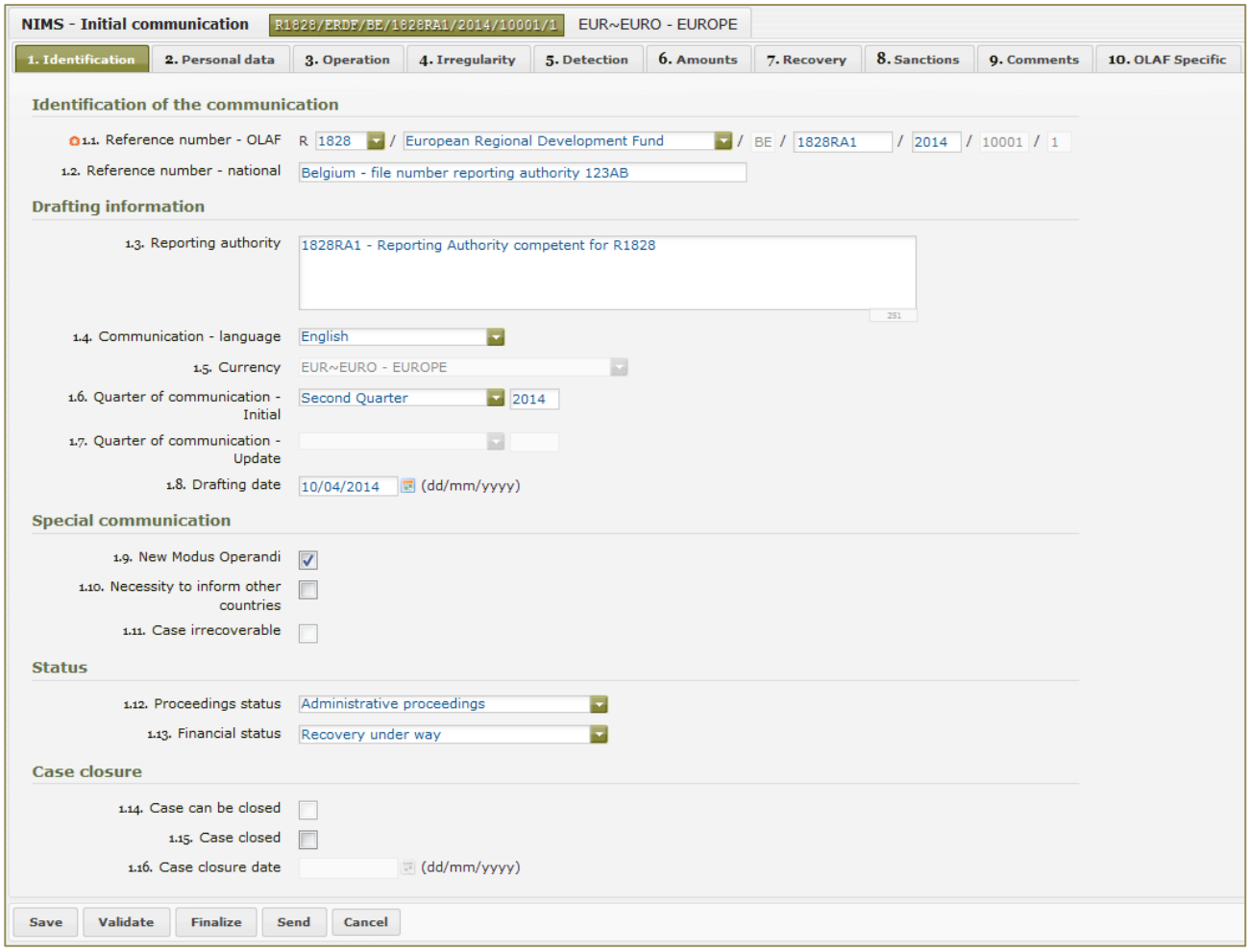
You need to select from the drop-down-list the applicable module. The descriptions are based on the different regulations:

- 498 : fishery fund from programming period 2007-2013 onwards
- 1681 : structural funds before programming period 2007-2013
- 1831 : cohesion fund before programming period 2007-2013
- 1828 : cohesion policy from programming period 2007-2013 onwards
- 1848 : agriculture (all programming periods)
- PAA : pre-accession before programming period 2007-2013
- IPA : pre-accession from programming period 2007-2013 onwards

OLAF is currently working on IMS 5.0. The introduction of IMS 5.0 will most likely have as logic consequence that the number of modules will be reduced to four:

- Agriculture
- Cohesion
- Fisheries
- Pre-accession

Example:
In the image on the left hand side page you can see that 1828 has been selected from the drop-down-list.


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
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3. Operation
4. Irregularity
5. Detection
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7. Recovery
8. Sanctions
9. Comments
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Identification of the communication
1.1. Reference number - OLAF
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1.2. Reference number - national
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Drafting information
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Second Quarter
2014
1.7. Quarter of communication - Update
1.8. Drafting date
10/04/2014
(dd/mm/yyyy)
Special communication
1.9. New Modus Operandi
1.10. Necessity to inform other countries
1.11. Case irrecoverable
Status
1.12. Proceedings status
Administrative proceedings
1.13. Financial status
Recovery under way
Case closure
1.14. Case can be closed
1.15. Case closed
1.16. Case closure date
(dd/mm/yyyy)
Save
Validate
Finalize
Send
Cancel

Ad fund
You need to select from the drop-down-list one of the options. The drop-down-list offers you a choice on basis of the module selected. In case only one fund is applicable, the name of the fund will be displayed immediately.

Example:
In the image on the left hand side page you can see that ERDF has been selected from the drop-down-list.

Ad country code
IMS puts by default the ISO-code of the country to which you belong. You cannot change that.

Example:
In the image on the left hand side page you can see that the country code BE has been indicated.

Ad Reporting authority
IMS puts by default the “URT-short-name” of the reporting authority to which you belong. You cannot change that.

The URT-short-name is based on the information provided by your Liaison-Officer (LO) in User Registration Tool (URT).

Example:
In the image on the left hand side page you can see that 1828RA1 has been indicated.

Ad reporting year
IMS puts by default the running year. However, the field is editable which implies that you can change the year. The field is editable till the moment you finalize the communication.

Example:
In the image on the left hand side page you can see that the year 2014 has been indicated.

Ad sequence number
IMS generates automatically a number which cannot be edited. You have to accept that number.

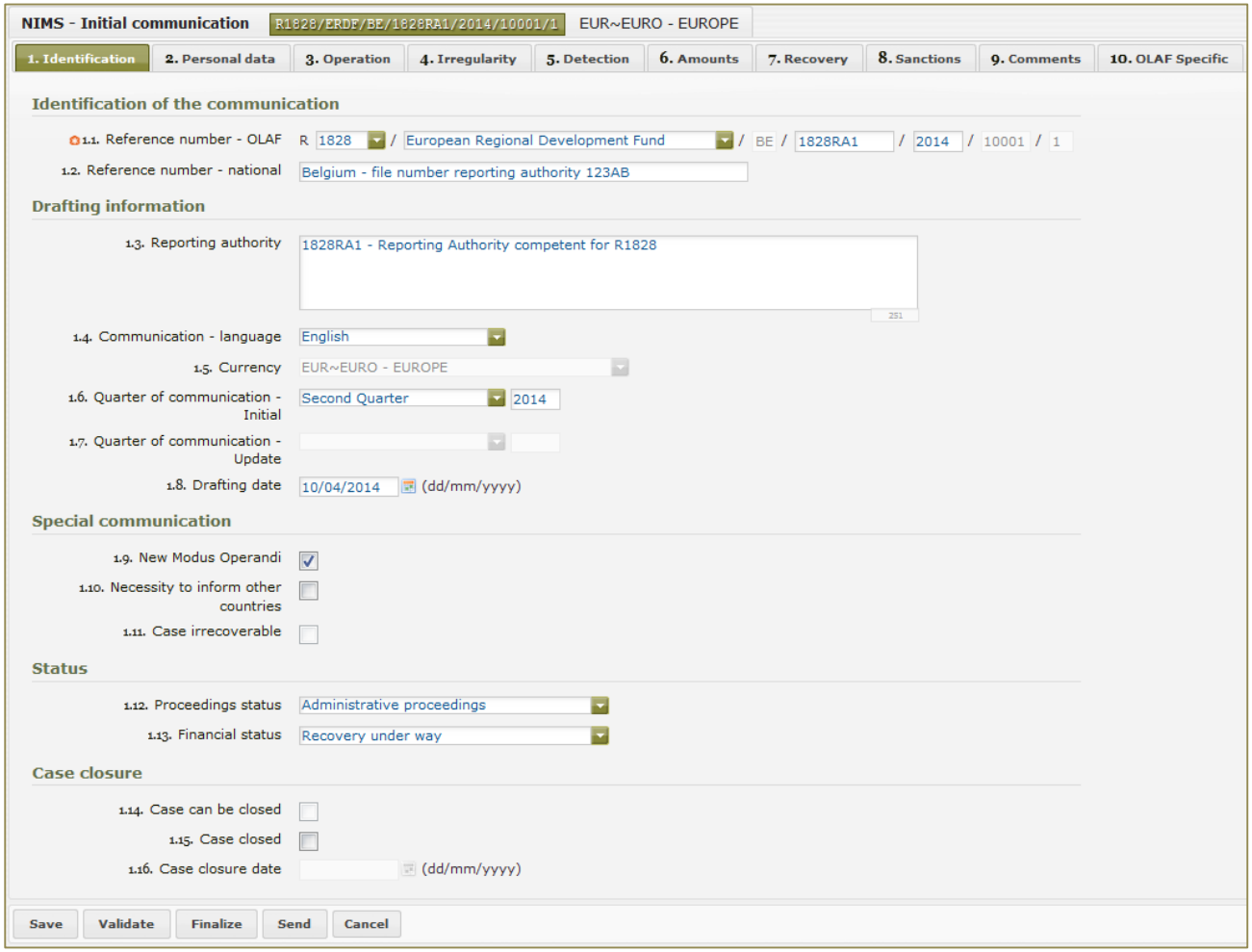
Please be aware that the Reference number – OLAF is used to identify a case. Updating a case means that you have to reuse the number. Using a new number implies that you create a new case which is then a duplication of the already existing case.

Example:
In the image on the left hand side page you can see that number 10001 has been indicated.

Form version number
IMS adds at the end of every Reference number – OLAF a so called form version number. The form version number is used to identify the different communications concerning the same case.

The first communication of a case, the so called initial communication, is always form version 1. Updates have a consecutive number beginning with 2. The first update is thus form version 2, the second update is form version 3 and so on. The communication with the highest form version number reflects the state of a case.

Example:
In the image on the left hand side page you can see that number 1 has been indicated which implies that it concerns an initial communication.


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Identification of the communication
1.1. Reference number - OLAF
R 1828 / European Regional Development Fund / BE / 1828RA1 / 2014 / 10001 / 1
1.2. Reference number - national
Belgium - file number reporting authority 123AB
Drafting information
1.3. Reporting authority
1828RA1 - Reporting Authority competent for R1828
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1.5. Currency
EUR~EURO - EUROPE
1.6. Quarter of communication - Initial
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2014
1.7. Quarter of communication - Update
1.8. Drafting date
10/04/2014
(dd/mm/yyyy)
Special communication
1.9. New Modus Operandi
1.10. Necessity to inform other countries
1.11. Case irrecoverable
Status
1.12. Proceedings status
Administrative proceedings
1.13. Financial status
Recovery under way
Case closure
1.14. Case can be closed
1.15. Case closed
1.16. Case closure date
(dd/mm/yyyy)
Save
Validate
Finalize
Send
Cancel

1.2. Reference number- national

The reference number – national is the number that was issued by your country. Normally a national service or administration issues a file or record number. That number can be indicated in this field in order to make it possible for you to find a case back by searching on your national file number.

Example:
In the image on the left hand side page you can see that as national reference number “Belgium – file number reporting authority 123AB” is indicated.

Section - Drafting information

This section contains information about the drafting of the communication, such as who drafted the communication, which language and currency is used, when was it drafted and so forth.

1.3. Reporting authority

IMS provides by default the name as provided by your Liaison-Officer (LO) in the User Registration Tool (URT). You will see on the screen the URT-short-name as well as the URT-long-name of the organisation to which you belong. It concerns an editable field which implies that you can change the description. However, in such case you need to inform your CO that the information in URT should be updated.

Example:
In the image on the left hand side page you can see that as reporting authority has been indicated:
1828RA1 – Reporting Authority competent for R1828

1.4. Communication – language

You should indicate the language in which you provide the information. IMS puts by default the language chosen in “my profile”. The field is editable which implies that you can change it by selecting one of the languages as provided by the drop-down-list.

In case you report an IPA or PAA-case, you are obliged to report in English. IMS will not allow you to change the language.

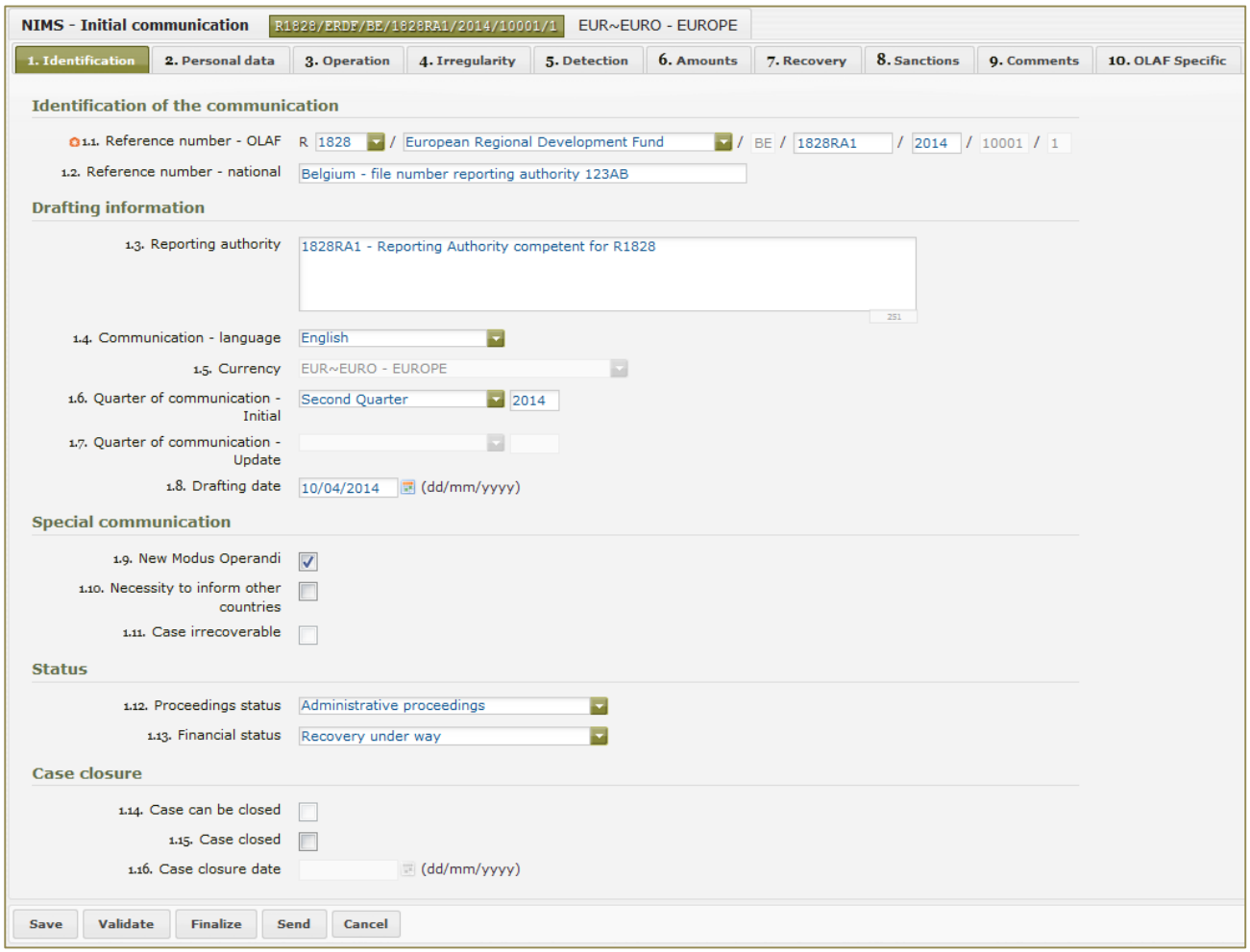
Example:
In the image on the left hand side page you can see that as communication language has been indicated:
English

1.5. Currency

You should indicate the currency that you will use to indicate the different amounts such as expenditure and irregular amount. IMS puts by default EURO but it is editable which means that you can change it.

However, for IMS-modules 498, 1828 and IPA counts that you are obliged to indicate the amount in EURO. For these modules, you cannot change the currency.

Example:
In the image on the left hand side page you can see that as currency has been indicated:
EUR ~ EURO - EUROPE


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
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Identification of the communication
1.1. Reference number - OLAF
R 1828 / European Regional Development Fund / BE / 1828RA1 / 2014 / 10001 / 1
1.2. Reference number - national
Belgium - file number reporting authority 123AB
Drafting information
1.3. Reporting authority
1828RA1 - Reporting Authority competent for R1828
1.4. Communication - language
English
1.5. Currency
EUR~EURO - EUROPE
1.6. Quarter of communication - Initial
Second Quarter
2014
1.7. Quarter of communication - Update
1.8. Drafting date
10/04/2014
(dd/mm/yyyy)
Special communication
1.9. New Modus Operandi
1.10. Necessity to inform other countries
1.11. Case irrecoverable
Status
1.12. Proceedings status
Administrative proceedings
1.13. Financial status
Recovery under way
Case closure
1.14. Case can be closed
1.15. Case closed
1.16. Case closure date
(dd/mm/yyyy)
Save
Validate
Finalize
Send
Cancel

1.6. Quarter of communication - initial

Irregularities have to be reported within 2 months after the quarter in which the irregularity was detected. You need to indicate in this field to which reporting quarter a communication belongs by selecting the quarter from the drop-down-list and indicating the year in four digits (e.g. 2014 or 2015). IMS provides by default the running quarter but it is editable thus you can change it.

For IPA and PAA counts that irregularities should be reported immediately which means that always the running quarter (the default!) should be indicated.

Be aware that this field cannot be changed anymore at the moment the communication gets the status “finalized”.

The information of this field will always be displayed when you do an update. As mentioned above, the information cannot be changed.

Example:
In the image on the left hand side page as quarter of initial communication has been indicated:
Second Quarter 2014

1.7. Quarter of communication - update

You need to indicate to which reporting quarter a communication belongs by selecting the quarter from the drop-down-list and indicating the year in four digits (e.g. 2014 or 2015). IMS provides by default the running quarter but it is editable thus you can change it.

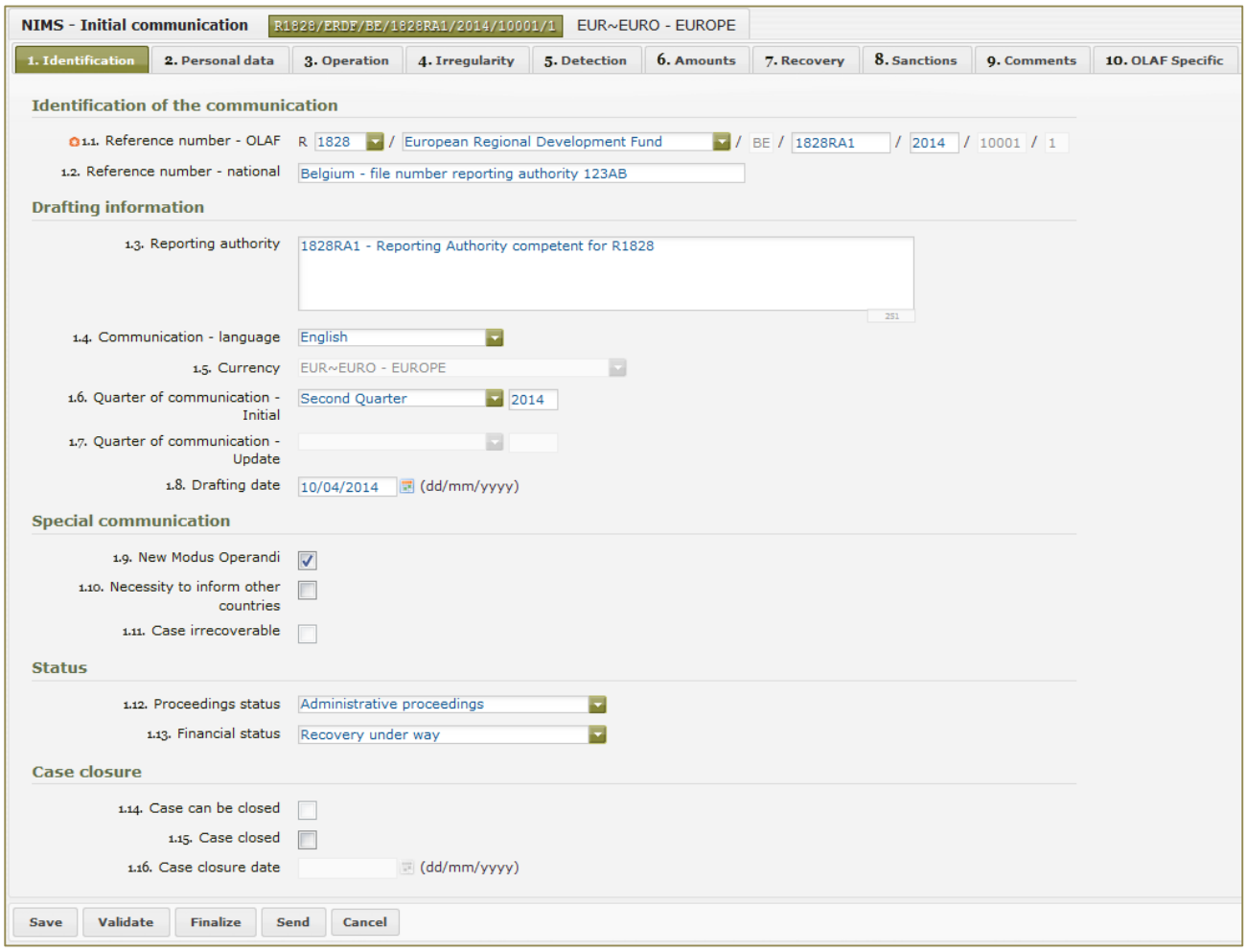
Please be aware that this field can only be used in case of an update (form version 2 and higher). The field is disabled in case of an initial communication.

1.8. Drafting date

You can indicate the date on which you finalized the communication. IMS puts by default the date on which you create the communication. However, it is an editable field which implies that you can change it.

This field has been created on request of countries who use this field to monitor the processing time from the moment a creator finalized a communication.

Example:
In the image on the left hand side page as drafting date has been indicated:
10/04/2014


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
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1.1. Reference number - OLAF
R 1828 / European Regional Development Fund / BE / 1828RA1 / 2014 / 10001 / 1
1.2. Reference number - national
Belgium - file number reporting authority 123AB
Drafting information
1.3. Reporting authority
1828RA1 - Reporting Authority competent for R1828
1.4. Communication - language
English
1.5. Currency
EUR~EURO - EUROPE
1.6. Quarter of communication - Initial
Second Quarter
2014
1.7. Quarter of communication - Update
1.8. Drafting date
10/04/2014
(dd/mm/yyyy)
Special communication
1.9. New Modus Operandi
1.10. Necessity to inform other countries
1.11. Case irrecoverable
Status
1.12. Proceedings status
Administrative proceedings
1.13. Financial status
Recovery under way
Case closure
1.14. Case can be closed
1.15. Case closed
1.16. Case closure date
(dd/mm/yyyy)
Save
Validate
Finalize
Send
Cancel

Section - Special communication

This section contains information on so called special or urgent communications. The different regulations oblige countries to submit a special or urgent communication in case a new modus operandi has been applied, other countries need to be warned and/or a case has become irrecoverable and the Commission need to take a formal decision on the closure of such case.

In the image on the left hand side page you can see that the tick box for a new modus operandi has been ticked.

1.9. New modus operandi

You need to tick the tick box in case a new modus operandi has been applied of which your colleagues in your own country or in any other country need to be warned.

In case you tick the tick box, IMS informs OLAF-staff that such a case has been reported. OLAF-staff will analyse and evaluate the information. If necessary, additional information will be requested via the Liaison-Officer (LO). The results will be used to inform other countries. Of course, the latter will be done in close cooperation with the competent Liaison-Officers.

1.10. Necessity to inform other countries

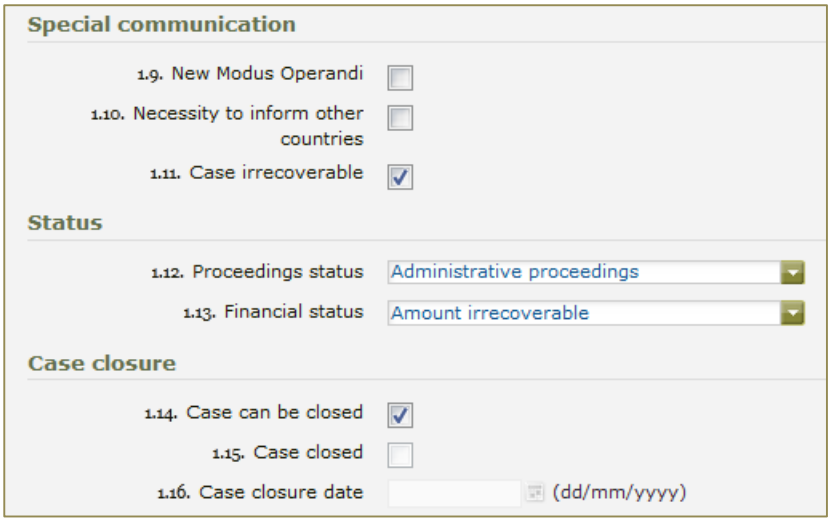
You need to tick the tick box in case other countries should be informed due to for instance the nationality of the person(s) who committed the irregularity, their place of registration or that the activity takes also place in those other countries.

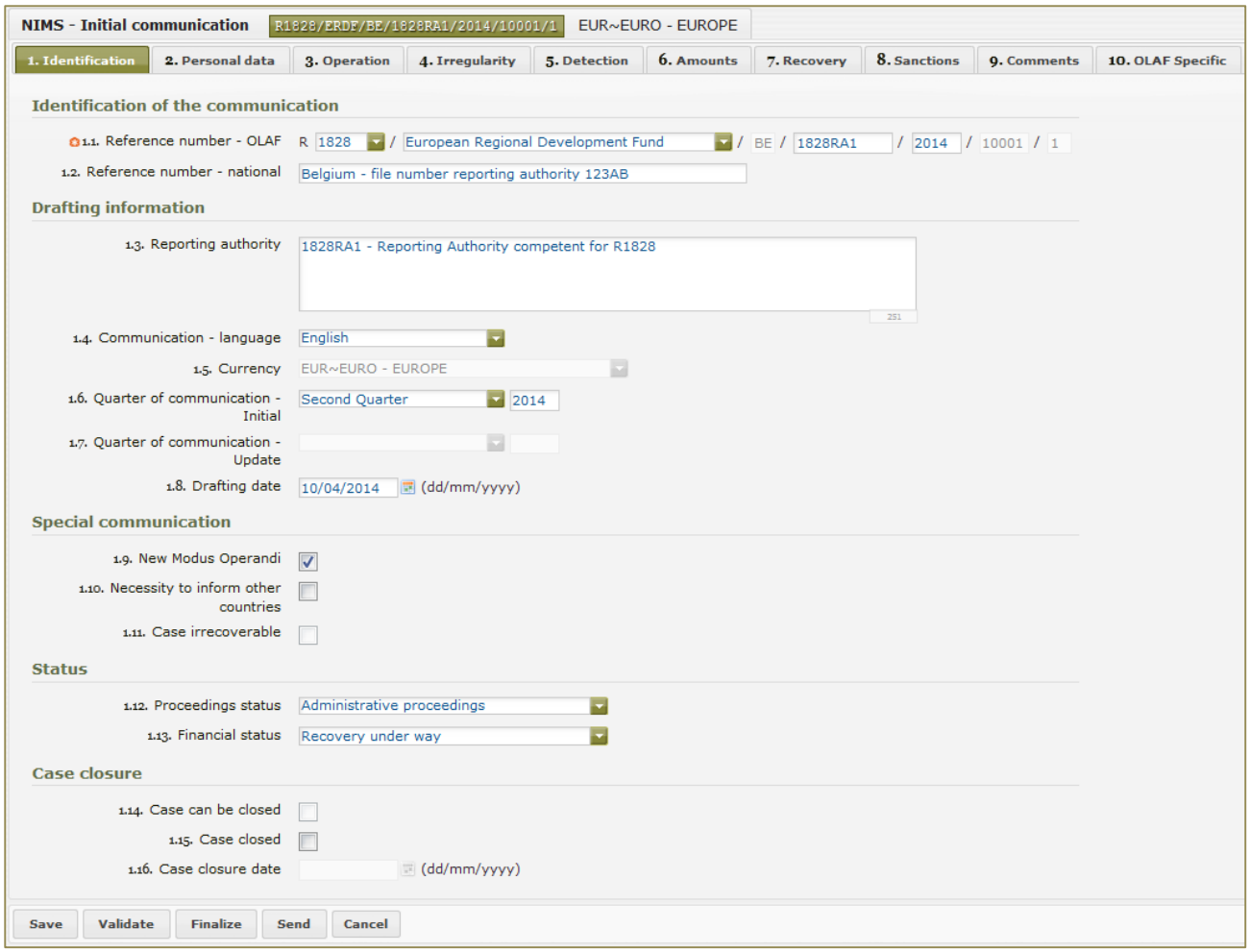
In case you tick the tick box, IMS informs OLAF-staff that such a case has been reported. OLAF-staff will analyse and evaluate the information. If necessary, additional information will be requested via the Liaison-Officer (LO). The results will be used to inform other countries. Of course, the latter will be done in close cooperation with the competent Liaison-Officers.

1.11. Case irrecoverable

This field is only applicable for modules 1681, 1831 and PAA due to the specific legislation on “irrecoverable cases”.

You need to tick the tick box in case unduly paid amounts cannot be recovered, all national procedures have been completed and you want the Commission to take a decision on the still outstanding amounts. A request as described in the specific regulation should be uploaded as attachment (see tab page 9 Comments). You should also not forget to check and/or complete fields 1.12. – 1.14:




NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Identification of the communication
1.1. Reference number - OLAF
R 1828 / European Regional Development Fund / BE / 1828RA1 / 2014 / 10001 / 1
1.2. Reference number - national
Belgium - file number reporting authority 123AB
Drafting information
1.3. Reporting authority
1828RA1 - Reporting Authority competent for R1828
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1.5. Currency
EUR~EURO - EUROPE
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Second Quarter
2014
1.7. Quarter of communication - Update
1.8. Drafting date
10/04/2014
(dd/mm/yyyy)
Special communication
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Status
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Administrative proceedings
1.13. Financial status
Recovery under way
Case closure
1.14. Case can be closed
1.15. Case closed
1.16. Case closure date
(dd/mm/yyyy)
Save
Validate
Finalize
Send
Cancel

Section - Status

This selection contains information on the proceedings and the financial status of the case

1.12. Proceedings

You need to select from the drop-down-list the type of proceedings initiated to follow up the irregularity. IMS offers the following options:

- Administrative proceedings
- Judicial proceedings
- Penal proceedings

Example:
In the image on the left hand side page as procedure has been indicated:
Administrative proceedings

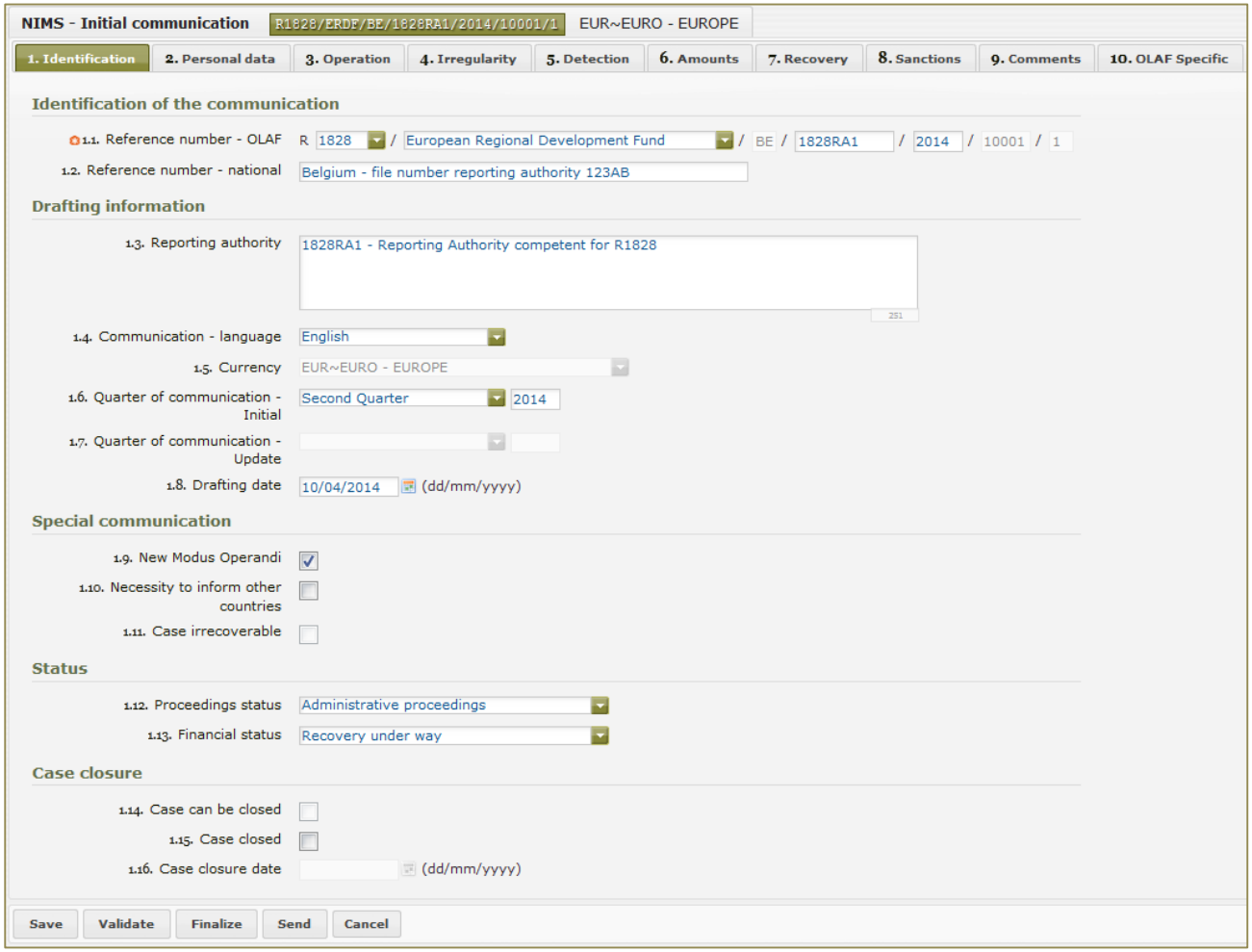
1.13. Financial status

You need to indicate the financial status of the case by selecting from the drop-down-list one of the following options:

- A-NATR No amount to be recovered
- B-ATBC Amount to be calculated
- C-RTBS Recovery to be started
- D-RUNW Recovery under way
- E-ALRS Appeal lodged and recovery suspended
- F-ACRL Appeal completed and recovery launched
- G-FULR Full recovery
- H-EUSW EU-share withdrawn, expenditure fully charged to national budget
- I-NRW4 Amount not recovered within 4 years
- J-NRW8 Amount not recovered within 8 years
- K-AIRR Amount irrecoverable
- L-CCEU Clearance - charged to EU-budget
- M-CCNB Clearance - charged to national budget
- N-CCBB Clearance - charged to EU-budget and national budget

In order to have the options displayed in a logic order, a letter has been added to the code which made it possible to sort the options in alphabetical order.

Example:
In the image on the left hand side page as financial status has been indicated:
recovery under way


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
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9. Comments
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English
1.5. Currency
EUR~EURO - EUROPE
1.6. Quarter of communication - Initial
Second Quarter
2014
1.7. Quarter of communication - Update
1.8. Drafting date
10/04/2014
(dd/mm/yyyy)
Special communication
1.9. New Modus Operandi
1.10. Necessity to inform other countries
1.11. Case irrecoverable
Status
1.12. Proceedings status
Administrative proceedings
1.13. Financial status
Recovery under way
Case closure
1.14. Case can be closed
1.15. Case closed
1.16. Case closure date
(dd/mm/yyyy)
Save
Validate
Finalize
Send
Cancel

Section - Case closure

This section contains specific information on the closure of cases.

1.14. Case can be closed

This tick box is only active for modules 1681, 1831 and PAA due to the specific rules on the closure of cases. For these modules count that only OLAF can close cases.

By ticking the tick box, you inform the European Commission that all national procedures have been completed and that, from a national perspective, the case is closed. The Commission will then have to take a decision on the case. See also the explanation given concerning field 1.11. Case irrecoverable.

1.15. Case closed

This field is active for modules 498, 1828, 1848 and IPA which means that you need to provide the information. For the other three modules counts that OLAF needs to provide the information.

You can indicate “case closed” by ticking the tick box. A case remains “open” if the tick box is not ticked.

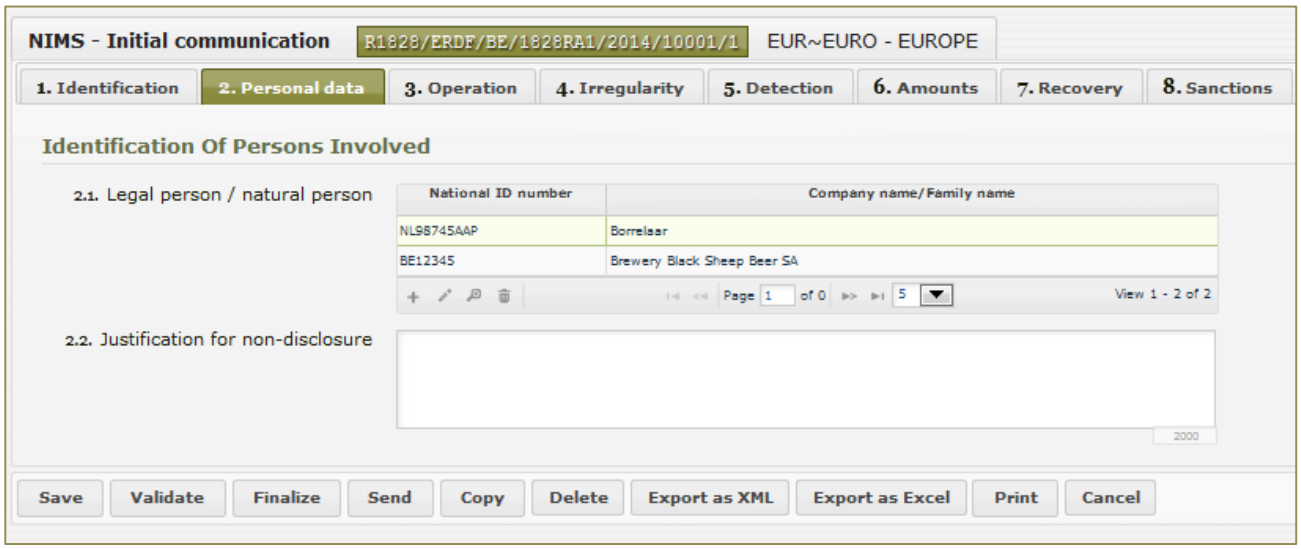
Be aware that you can always reopen a case by creating an update. Just click on the button **Update communication** and update the case. The last communication of a case will always be seen as the valid one.

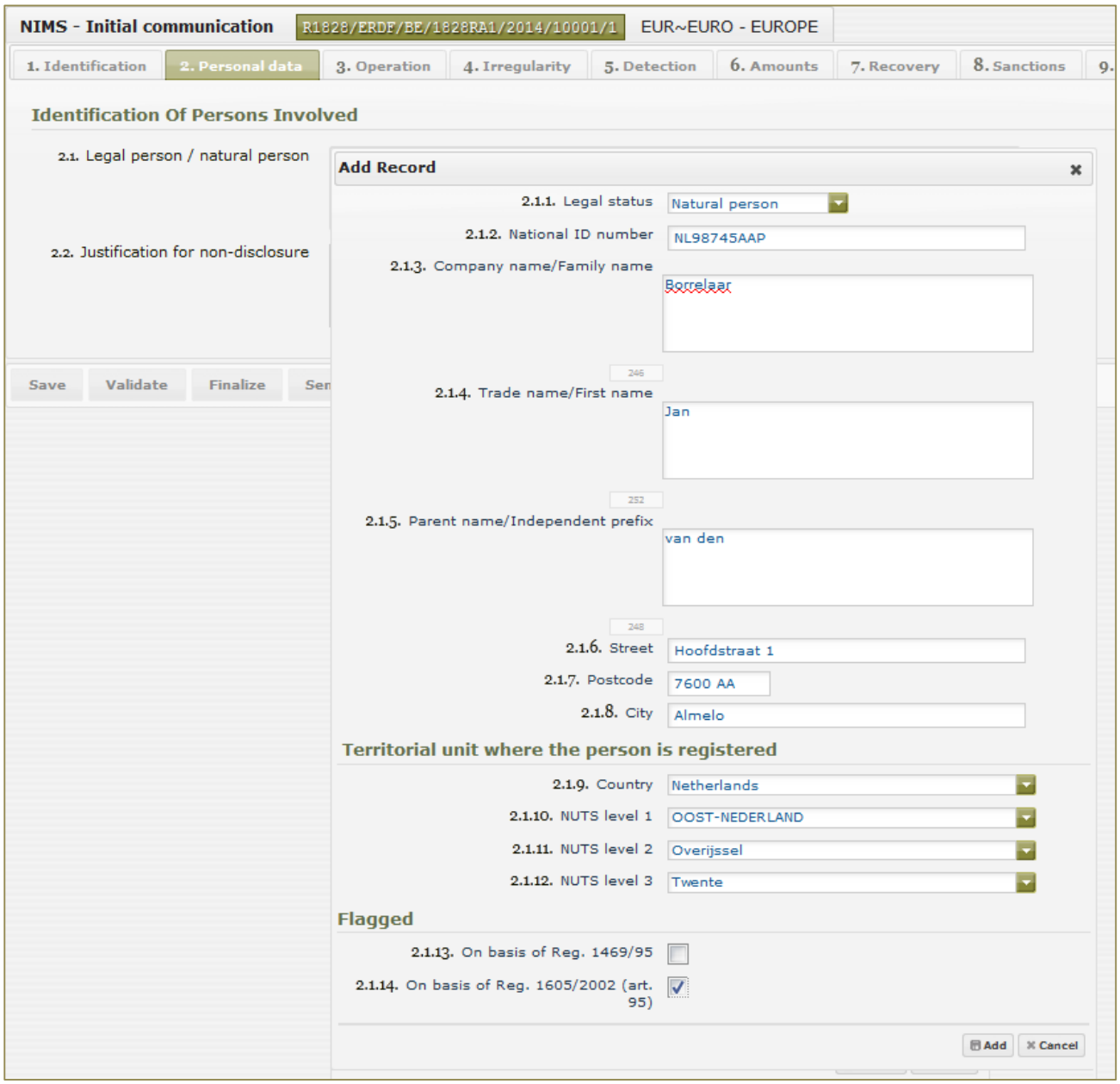
1.16. Case closure date

This field is active for modules 498, 1828, 1848 and IPA which means that you need to provide the information. For the other three modules counts that OLAF needs to provide the information.

IMS put by default the date on which the tick box of field 1.15. Case closed is ticked. However, it is an editable field which implies that you can change it.

Be aware that the case closure date triggers the automatic anonymisation of cases. All text fields will be deleted, depending on the specific circumstances of a case, n-years after the closure of a case.


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
Identification Of Persons Involved
2.1. Legal person / natural person
National ID number
Company name/Family name
NL98745AAP
Borrelaar
BE12345
Brewery Black Sheep Beer SA
Page 1 of 0
View 1 - 2 of 2
2.2. Justification for non-disclosure
2000
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
Identification Of Persons Involved
2.1. Legal person / natural person
2.2. Justification for non-disclosure
Add Record
2.1.1. Legal status
Natural person
2.1.2. National ID number
NL98745AAP
2.1.3. Company name/Family name
Borrelaar
246
2.1.4. Trade name/First name
Jan
252
2.1.5. Parent name/Independent prefix
van den
248
2.1.6. Street
Hoofdstraat 1
2.1.7. Postcode
7600 AA
2.1.8. City
Almelo
Territorial unit where the person is registered
2.1.9. Country
Netherlands
2.1.10. NUTS level 1
OOST-NEDERLAND
2.1.11. NUTS level 2
Overijssel
2.1.12. NUTS level 3
Twente
Flagged
2.1.13. On basis of Reg. 1469/95
2.1.14. On basis of Reg. 1605/2002 (art. 95)
Add
Cancel

3.3 Tab page 2: Personal data

Tab page 2 Personal data provides all information concerning the persons involved. Persons involved could be anybody who played a substantial role in the irregularity which includes persons such as the beneficiary, the person who initiated the irregularity (boss, manager, consultant, adviser etcetera), the person who actually committed the irregularity and so forth.

Section - Identification of persons involved

Tab page 2 contains a multi-value-group which means that more than one value can be processed. In other words, more than one person can be indicated.

A multi-value-group has additional buttons which need to be used to save, edit or delete data. You will find on top of the multi-value-group the following buttons:

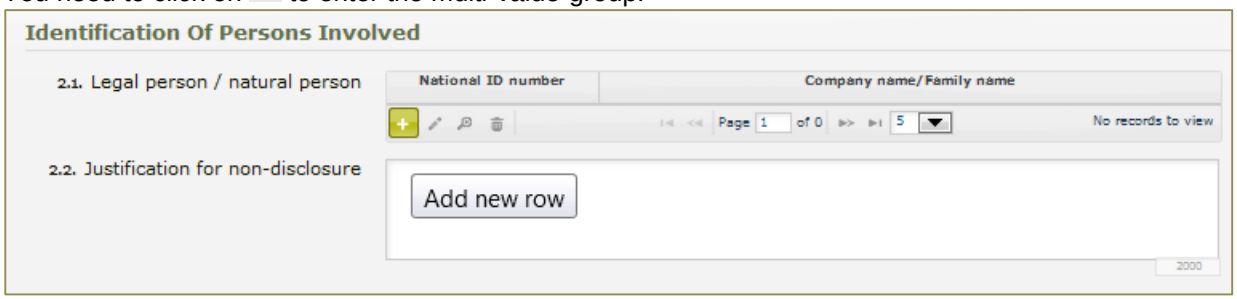
– **Add** : key in new information
– **Edit** : edit the details of information on a person already keyed in
 – **View** : view the details of information on a person already keyed in
– **Delete** : remove a person.

As soon as you have added information in the multi-value-group you need to click the button **Add** in order to save the information. You will find this button together with the button **Cancel** at the bottom of the multi-value group. The button **Cancel** can be used to cancel the information that just has been put in. Be aware that not clicking on one of these buttons means that you cannot proceed with your work.

2.1. Legal person/natural person

Field 2.1. is the parent field of the multi-value-group. By filling in the sub-fields, the parent field will be automatically filled.

You need to click on to enter the multi-value-group:

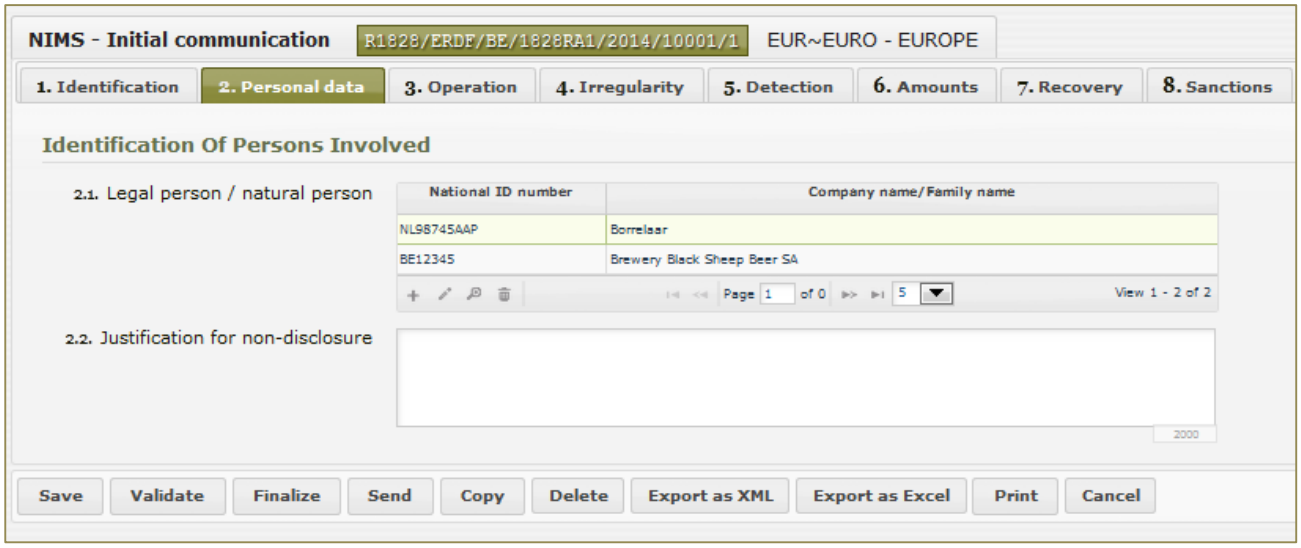


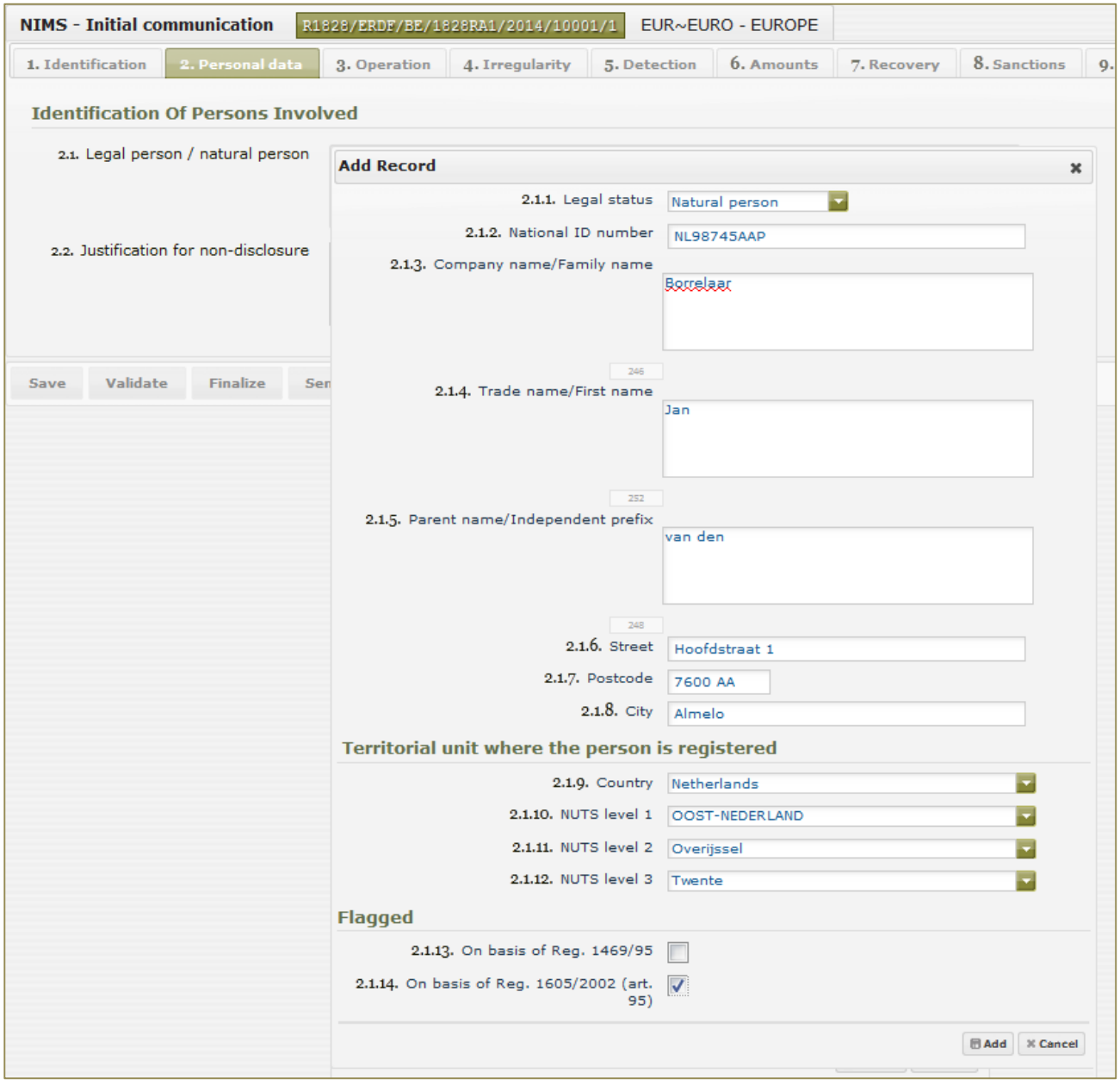
2.1.1. Legal status

The law distinguishes between a natural and legal person. You have to indicate the legal status of the person involved:
natural person
legal person

A natural person is any human being with legal capacity commencing from the time of birth. A legal person is an artificial person which is recognized by law as having legal personality. A legal person may be a private (i.e., business entity) or public (i.e., government) organization.

Example:
In the image on the left hand side page data concerning a natural person has been processed.


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
Identification Of Persons Involved
2.1. Legal person / natural person
National ID number
Company name/Family name
NL98745AAP
Borrelaar
BE12345
Brewery Black Sheep Beer SA
Page 1 of 0
View 1 - 2 of 2
2.2. Justification for non-disclosure
2000
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9.
Identification Of Persons Involved
2.1. Legal person / natural person
2.2. Justification for non-disclosure
Save
Validate
Finalize
Add Record
2.1.1. Legal status
Natural person
2.1.2. National ID number
NL98745AAP
2.1.3. Company name/Family name
Borrelaar
246
2.1.4. Trade name/First name
Jan
252
2.1.5. Parent name/Independent prefix
van den
248
2.1.6. Street
Hoofdstraat 1
2.1.7. Postcode
7600 AA
2.1.8. City
Almelo
Territorial unit where the person is registered
2.1.9. Country
Netherlands
2.1.10. NUTS level 1
OOST-NEDERLAND
2.1.11. NUTS level 2
Overijssel
2.1.12. NUTS level 3
Twente
Flagged
2.1.13. On basis of Reg. 1469/95
2.1.14. On basis of Reg. 1605/2002 (art. 95)
Add
Cancel

2.1.2. National ID number

You should indicate the national identification number.

In many countries, a national identification number is used as a means of tracking citizens or permanent and temporary residents, for the purposes of work, taxation, government benefits, health care and other governmentally-related functions. Sometimes, the number will appear on an identity card issued by the country.

Example:
In the image on the left hand side page, the following value has been indicated: NL98745AAP

2.1.3. Company name | Family name

You should, depending on the legal status (legal or natural person), indicate the company name or family name of the person involved. This name should be the official name, thus the name as registered in official registers.

Example:
In the image on the left hand side page, the following value has been indicated: Borrelaar

2.1.4. Trade name | First name

You should, depending on the legal status (legal or natural person), indicate the trade name or the first name of the person involved.
A trade name is the name under which a business trades for commercial purposes, also known as 'trading name' or 'business name'. A trade name is not used for legal purposes but for visibility purposes towards its customers.
Be aware that a trade name implies that there is also a company name thus field 2.1.3. Company name should as well contain info.

Example:
In the image on the left hand side page, the following value has been indicated: Jan

2.1.5. Parent name | Independent prefix

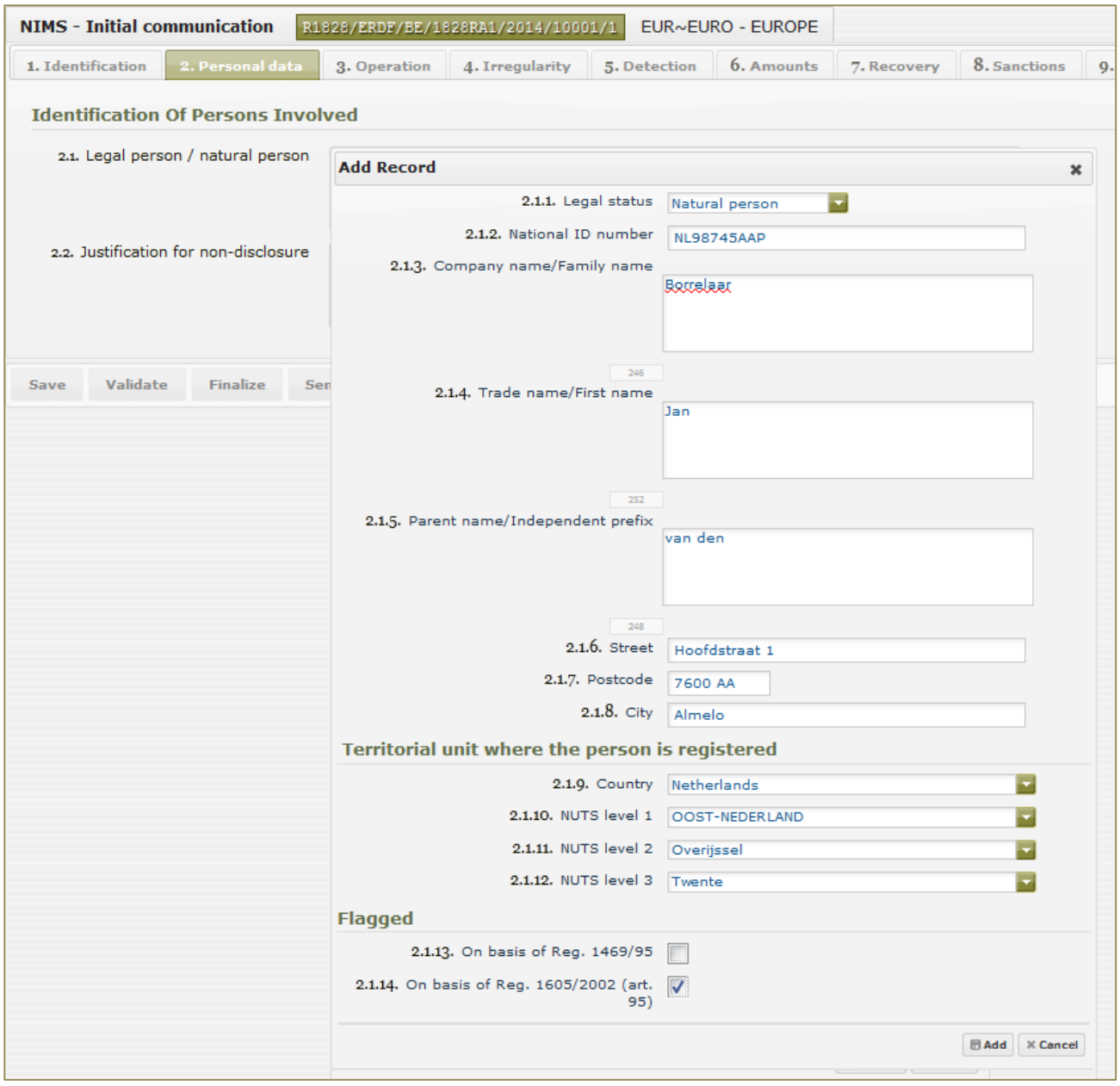
You should, depending on the legal status (legal or natural person), indicate the parent name or independent prefix of the person involved.

Parent company: the firm that owns and controls other firms (called subsidiaries) which are legal persons in their own right.

Independent prefix is used in countries as Belgium, the Netherlands and Germany. A prefix is put between the first name and the family name.

Example: Jan van den Borrelaar.

Example:
In the image on the left hand side page, the following value has been indicated: van den


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
Identification Of Persons Involved
2.1. Legal person / natural person
2.2. Justification for non-disclosure
Save
Validate
Finalize
Add Record
2.1.1. Legal status
Natural person
2.1.2. National ID number
NL98745AAP
2.1.3. Company name/Family name
Borrelaar
2.1.4. Trade name/First name
Jan
2.1.5. Parent name/Independent prefix
van den
2.1.6. Street
Hoofdstraat 1
2.1.7. Postcode
7600 AA
2.1.8. City
Almelo
Territorial unit where the person is registered
2.1.9. Country
Netherlands
2.1.10. NUTS level 1
OOST-NEDERLAND
2.1.11. NUTS level 2
Overijssel
2.1.12. NUTS level 3
Twente
Flagged
2.1.13. On basis of Reg. 1469/95
2.1.14. On basis of Reg. 1605/2002 (art. 95)
Add
Cancel

2.1.6. Street
You need to indicate the name of the street where the person is officially registered.

2.1.7. Postcode
You need to indicate the postal code of the address where the person is officially registered.

2.1.8. City
You need to indicate the name of the city or village where the person is officially registered

Section - Territorial unit where the person is registered
This section contains information on the territory where the person officially is registered.

2.1.9. Country
You need to indicate the country where the person officially is registered. IMS puts by default your country but it is editable which means that you can select any other country.

Example:
In the image on the left hand side page, the following value has been indicated: Netherlands

2.1.10. NUTS level 1
You need to select from the drop-down-list one of the offered values. The values in the drop-down-list depend on the country selected in the previous field. The drop-down-list contains all NUTS-values used from 2003 onwards.

NUTS classification is a hierarchical system for dividing up the economic territory of the EU for the purpose of:
1. The collection, development and harmonisation of EU regional statistics
2. Socio-economic analyses of the regions.
3. Framing of EU regional policies.

The acronym NUTS comes from Nomenclature des Unités Territoriales Statistiques. The English description is nomenclature of territorial units for statistics.

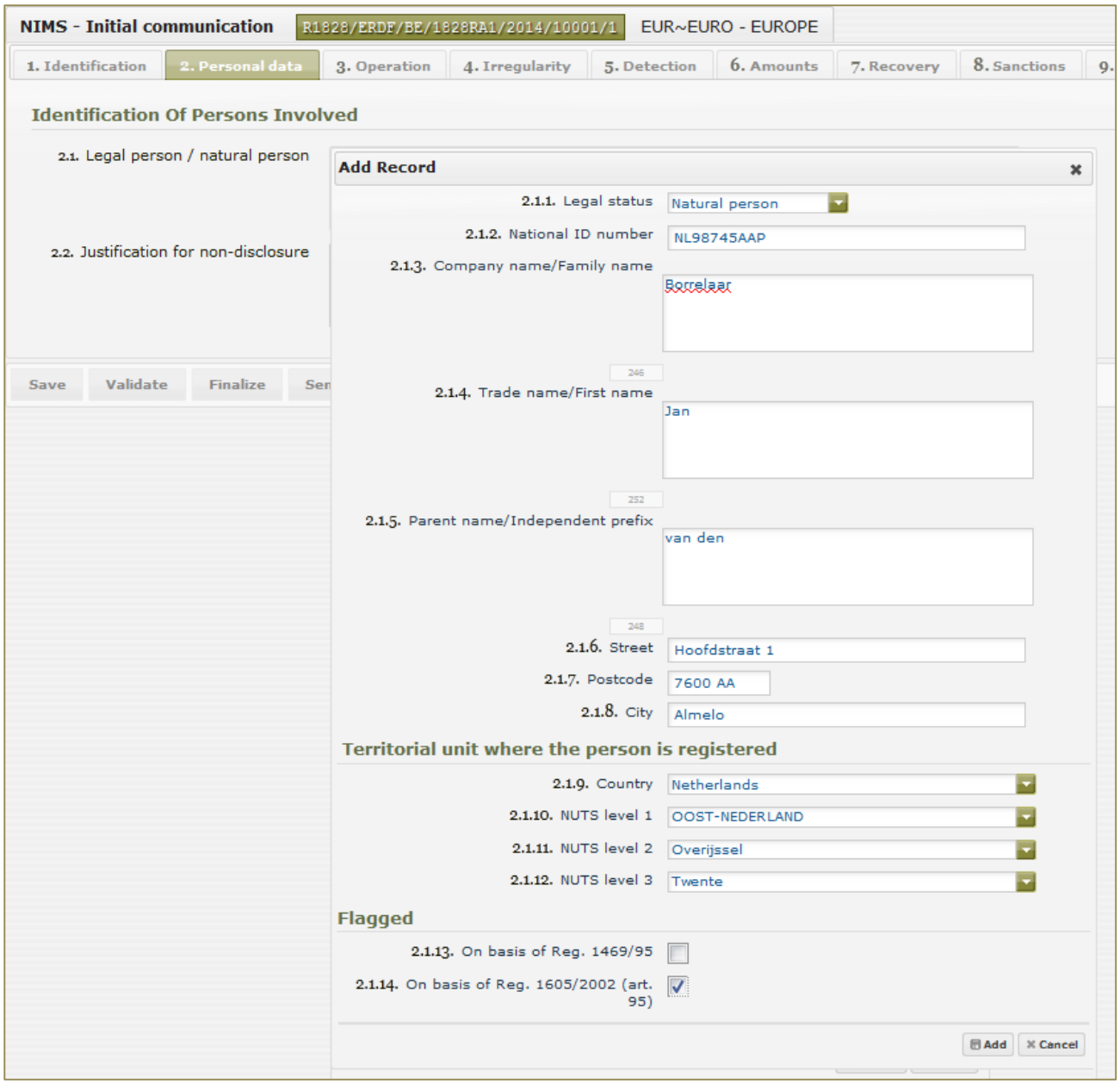
Example:
In the image on the left hand side page, the following value has been indicated: OOST-NEDERLAND

2.1.11. NUTS level 2
You need to select from the drop-down-list one of the offered values. The values in the drop-down-list depend on the value selected in the previous field.

Example:
In the image on the left hand side page, the following value has been indicated: Overijssel

2.1.12. NUTS level 3
You need to select from the drop-down-list one of the offered values. The values in the drop-down-list depend on the value selected in the previous field.

Example:
In the image on the left hand side page, the following value has been indicated: Twente


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
Identification Of Persons Involved
2.1. Legal person / natural person
2.2. Justification for non-disclosure
Save
Validate
Finalize
Add Record
2.1.1. Legal status
Natural person
2.1.2. National ID number
NL98745AAP
2.1.3. Company name/Family name
Borrelaar
2.1.4. Trade name/First name
Jan
2.1.5. Parent name/Independent prefix
van den
2.1.6. Street
Hoofdstraat 1
2.1.7. Postcode
7600 AA
2.1.8. City
Almelo
Territorial unit where the person is registered
2.1.9. Country
Netherlands
2.1.10. NUTS level 1
OOST-NEDERLAND
2.1.11. NUTS level 2
Overijssel
2.1.12. NUTS level 3
Twente
Flagged
2.1.13. On basis of Reg. 1469/95
2.1.14. On basis of Reg. 1605/2002 (art. 95)
Add
Cancel

Section - Flagged

This section indicates if a person fulfils the criteria to be put on the black list or to be registered in the Central Exclusion Database. In the image on the left hand side page the tick box concerning the Central Exclusion Database has been ticked.

2.1.13. On basis of Reg. 1469/1995

You need to tick the tick box in case the person should be black listed on basis of Council Regulation (EC) No 1469/95 of 22 June 1995 on measures to be taken with regard to certain beneficiaries of operations financed by the Guarantee Section of the EAGGF.

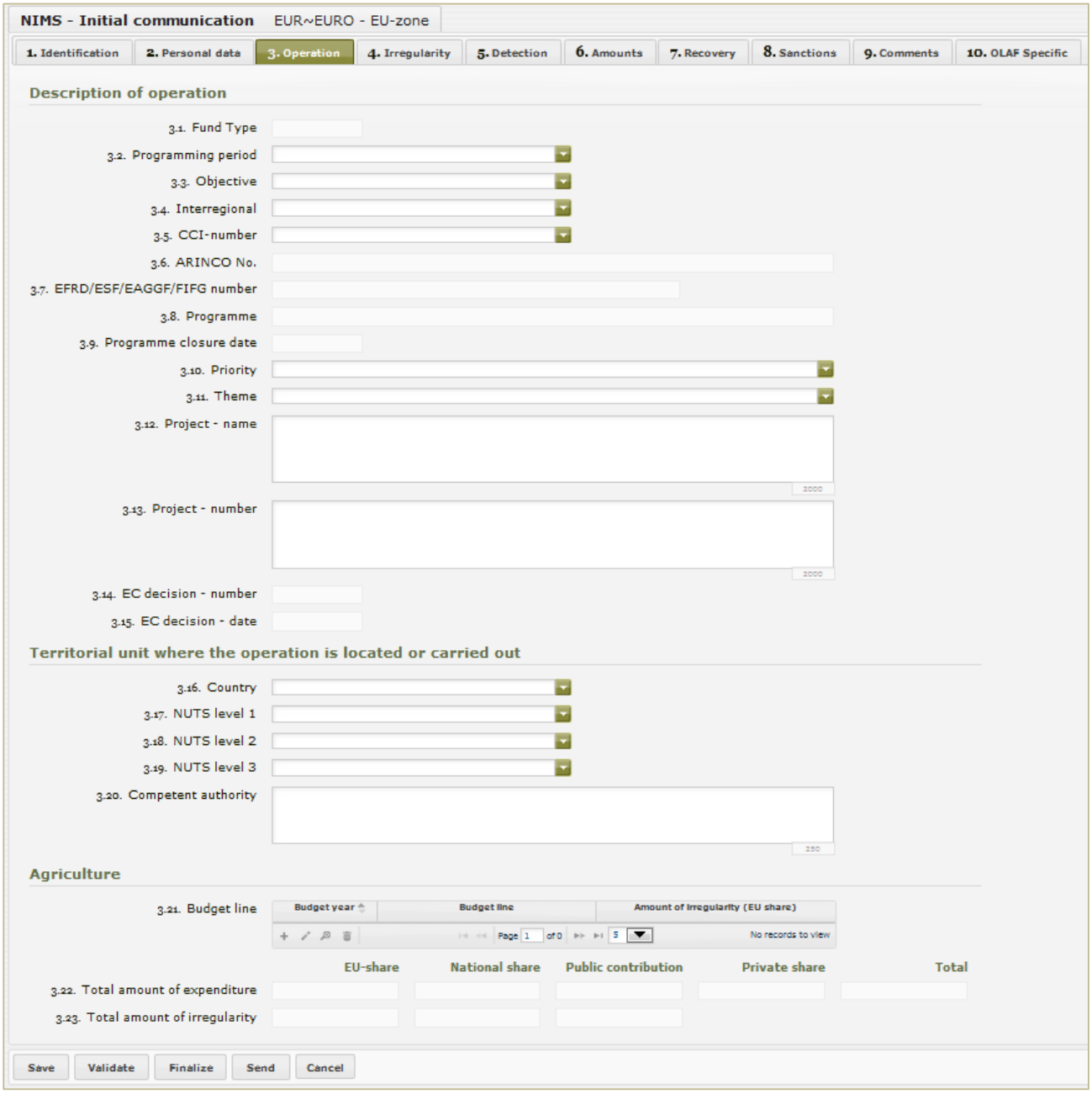
2.1.14. On basis of Reg. 966/2012 (art. 108)

You need to tick the tick box in case the person should be registered in the Central Exclusion Database on basis of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002.

2.2. Justification for non-disclosure

You are obliged to indicate the identity of legal and/or natural persons involved in the irregularity. However, in certain specific cases, you cannot provide the nominal data due to for instance an ongoing investigation. In such case, you must provide a justification for the non-disclosure of nominal data.

Be aware that the justification should be more than a simple phrase as “national data protection rules do not allow to forward nominal data”. You should provide a clear explanation why no nominal data was processed.


NIMS - Initial communication
EUR~EURO - EU-zone
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Description of operation
3.1. Fund Type
3.2. Programming period
3.3. Objective
3.4. Interregional
3.5. CCI-number
3.6. ARINCO No.
3.7. EFRD/ESF/EAGGF/FIFG number
3.8. Programme
3.9. Programme closure date
3.10. Priority
3.11. Theme
3.12. Project - name
3.13. Project - number
3.14. EC decision - number
3.15. EC decision - date
Territorial unit where the operation is located or carried out
3.16. Country
3.17. NUTS level 1
3.18. NUTS level 2
3.19. NUTS level 3
3.20. Competent authority
Agriculture
3.21. Budget line
Budget year
Budget line
Amount of irregularity (EU share)
No records to view
EU-share
National share
Public contribution
Private share
Total
3.22. Total amount of expenditure
3.23. Total amount of irregularity
Save
Validate
Finalize
Send
Cancel

3.4 Tab page 3: Operation

Tab page 3 Operation provides information on the operation or support measure itself.

Section - Description of operation

This section contains detailed information on the operation for which the subsidy is granted.

3.1. Fund

IMS indicates by default the fund that is indicated in field 1.1. Reference number – OLAF.

This field is not editable. You can change the fund type by going back to the tab page 1 (Identification) and selecting a new fund in field 1.1. Reference number - OLAF. Be aware that the reference number can only be edited as long as the initial communication has the status 'Draft'.

3.2. Programming period

You need to select one of the programming periods as provided by the drop-down-list. The available values depend on the selected module and fund.

3**.3. Objective**

You need to select from the drop-down-list the applicable objective. The drop-down-lists is limited to those objectives that could be applicable for the module, the fund and programming period selected.

3.4. Interregional

You need to select from the drop-down list the corresponding Interregional programme reference to which the project affected by the irregularity was related.

The drop-down-lists is limited to those objectives that could be applicable for the module, fund, programming period and objective selected.

3.5. CCI-number

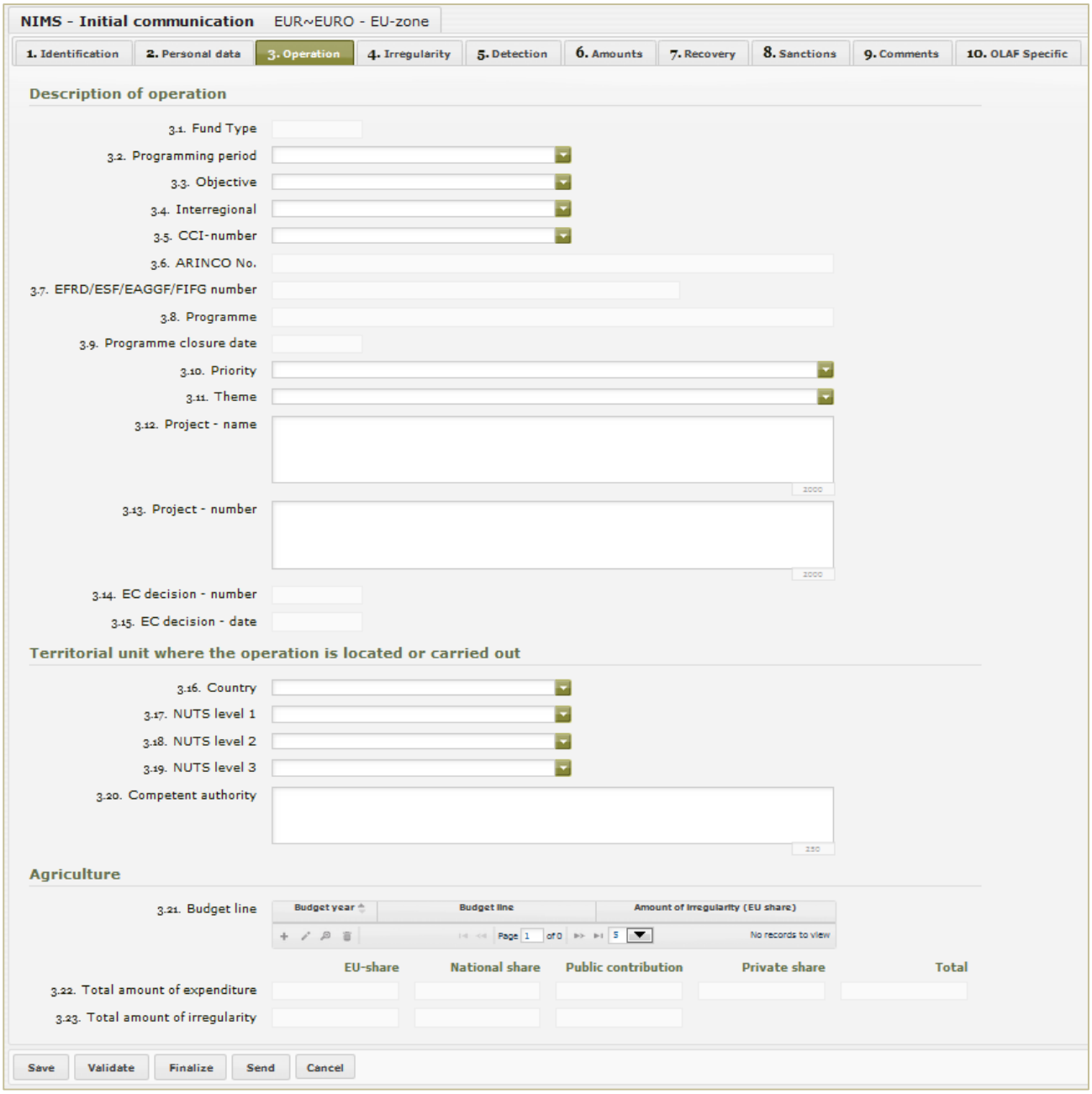
You need to select from the drop-down list the corresponding CCI-number.

The drop-down-lists is limited to those numbers that could be applicable for the module, fund, programming period and objective selected.

The field is active for programming periods after the year 2000 with exception of module 1831 for which the field is also active for programming periods before the year 2000.

The acronym CCI stands for Code Commun d'Identification. The English description is Common Identification Code. The CCI-number consists out of 6 sub-parts:
Year = Start Year of the Programme/Object
CC = Country or Geographical Region
DG = Numerical code of the DG chef de file
FF = Character code for the Fund(s) covered by the Programme/Object
TP = Type of Object
SEQ= Sequence

The drop-down-list is based on SFC2007 and SFC2014:
SFC2007: System for Fund management in the European Community 2007-2013
SFC2014: System for Fund management in the European Community 2014-2020


NIMS - Initial communication
EUR~EURO - EU-zone
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Description of operation
3.1. Fund Type
3.2. Programming period
3.3. Objective
3.4. Interregional
3.5. CCI-number
3.6. ARINCO No.
3.7. EFRD/ESF/EAGGF/FIFG number
3.8. Programme
3.9. Programme closure date
3.10. Priority
3.11. Theme
3.12. Project - name
3.13. Project - number
3.14. EC decision - number
3.15. EC decision - date
Territorial unit where the operation is located or carried out
3.16. Country
3.17. NUTS level 1
3.18. NUTS level 2
3.19. NUTS level 3
3.20. Competent authority
Agriculture
3.21. Budget line
Budget year
Budget line
Amount of irregularity (EU share)
No records to view
EU-share
National share
Public contribution
Private share
Total
3.22. Total amount of expenditure
3.23. Total amount of irregularity
Save
Validate
Finalize
Send
Cancel

3.6. ARINCO No.

You need, if applicable, to indicate the ARINCO-number.

The ARINCO information system was developed on request of the Commission and provided information on the structural funding activities concerning programming periods before 2000.

This field is only active for the modules 1681 and 1831.

3.7. EFRD/ESF/EAGGF/FIFG number

You need, if applicable, to indicate the EFRD/ESF/EAGGF/FIFG-number.

The EFRD/ESF/EAGGF/FIFG-number was developed on request of the Commission and provided information on the structural funding activities concerning programming periods before 2000.

Identification numbers for the following funds are available:
EFRD – European Fund for Regional Development
ESF – European Social Fund
EAGGF – European Agricultural Guidance and Guarantee Fund (Guidance)
FIFG – Financial Instrument for Fisheries Guidance

3.8. Programme

IMS puts on basis of information provided by you in the previous fields automatically the name of the programme and the programme closure date. The field is non-editable.

In cases IMS provides wrong info, please contact OLAF via your Liaison-Officer (LO).

3.9. Programme closure date

IMS puts on basis of information provided by you in the previous fields automatically the name of the programme and the programme closure date. The field is non-editable.

In cases IMS provides wrong info, please contact OLAF via your Liaison-Officer (LO).

The field is only active for the programming periods after 2000.

3.10. Priority

You need to select from the drop-down list the applicable priority. The drop-down-list is based on the information provided concerning the fund.

3.11. Theme

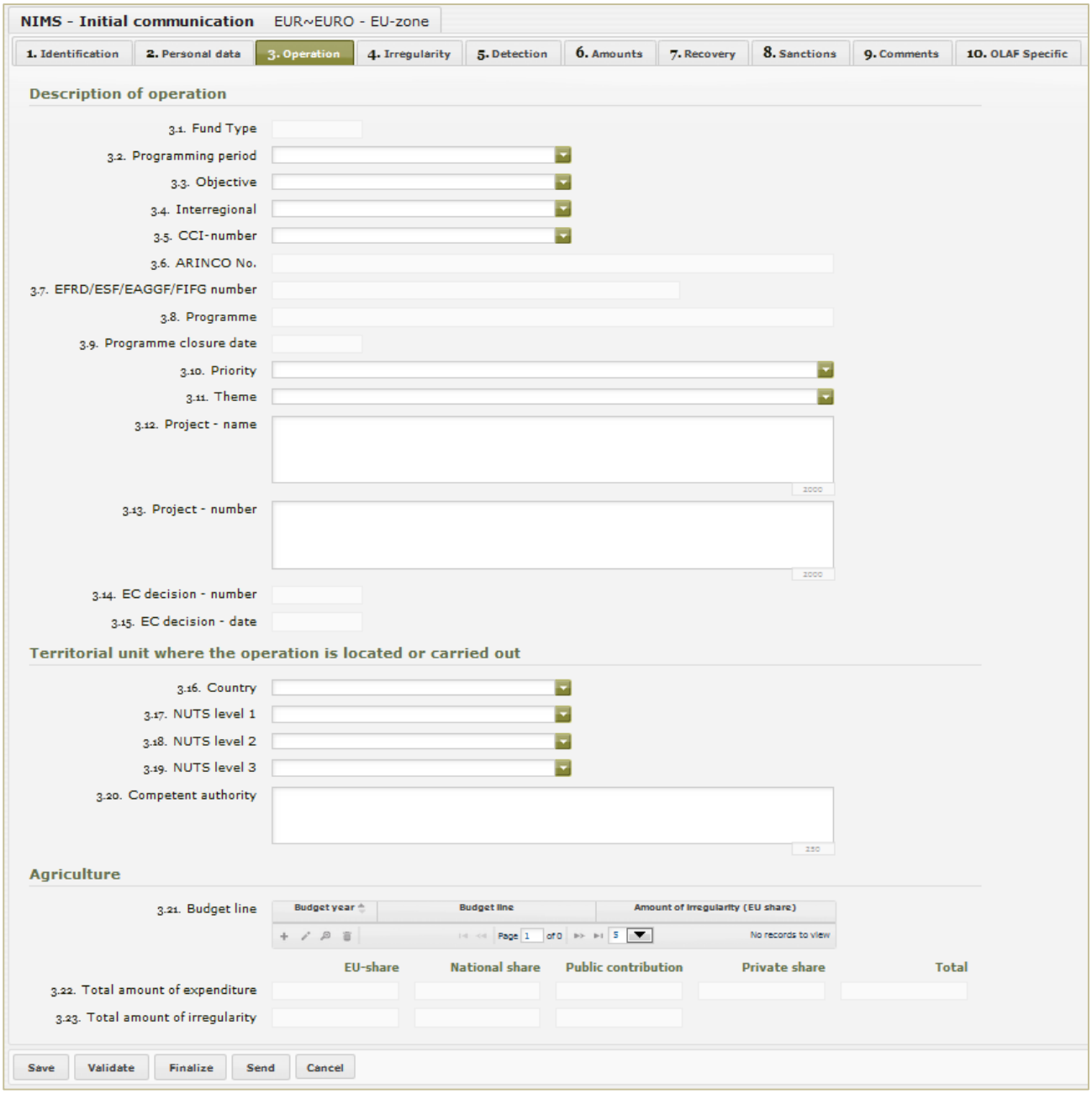
You need to select from the drop-down list the applicable theme. The drop-down-list is based on the information provided concerning the fund and priority.

3.12. Project – name

You need to provide the official and complete name of the project. You can make it even more complete by providing a small to the point description of the project.

3.13. Project - number

You need to provide the official number of the project as described in the previous field.


NIMS - Initial communication
EUR~EURO - EU-zone
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Description of operation
3.1. Fund Type
3.2. Programming period
3.3. Objective
3.4. Interregional
3.5. CCI-number
3.6. ARINCO No.
3.7. EFRD/ESF/EAGGF/FIFG number
3.8. Programme
3.9. Programme closure date
3.10. Priority
3.11. Theme
3.12. Project - name
3.13. Project - number
3.14. EC decision - number
3.15. EC decision - date
Territorial unit where the operation is located or carried out
3.16. Country
3.17. NUTS level 1
3.18. NUTS level 2
3.19. NUTS level 3
3.20. Competent authority
Agriculture
3.21. Budget line
Budget year
Budget line
Amount of irregularity (EU share)
No records to view
EU-share
National share
Public contribution
Private share
Total
3.22. Total amount of expenditure
3.23. Total amount of irregularity
Save
Validate
Finalize
Send
Cancel

3.14. EC decision – number

IMS generates on basis of the information provided in field 3.5. CCI-number automatically the information concerning the EC-decision-number and EC-decision-date.

The information is derived from data bases such as SFC2007 and SFC2014.

3.15. EC decision - date

IMS generates on basis of the information provided in field 3.5. CCI-number automatically the information concerning the EC-decision-number and EC-decision-date.

The information is derived from data bases such as SFC2007 and SFC2014.

Section - Territorial unit where the operation takes place

This section contains information where the operation takes place.

3.16. Country

You need to indicate the country where the operation takes place. IMS puts by default your country. However, it is an editable field which implies that you can change the country.

3.17. NUTS level 1

You need to select from the drop-down-list one of the offered values. The values in the drop-down-list depend on the country selected in the previous field. The drop-down-list contains all NUTS-values from 2003 onwards.

NUTS classification is a hierarchical system for dividing up the economic territory of the EU for the purpose of:
1. The collection, development and harmonisation of EU regional statistics
2. Socio-economic analyses of the regions.
3. Framing of EU regional policies.

The acronym NUTS comes from Nomenclature des Unités Territoriales Statistiques. The English description is nomenclature of territorial units for statistics.

3.18. NUTS level 2

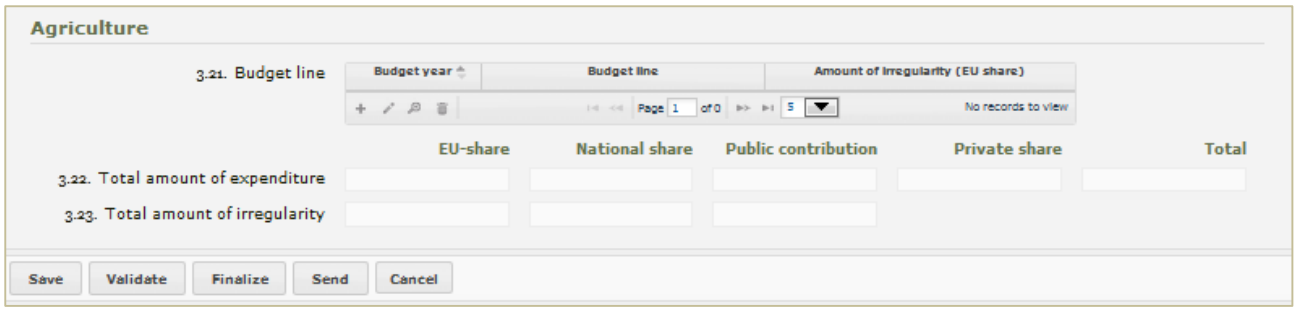
You need to select from the drop-down-list one of the offered values. The values in the drop-down-list depend on the value selected in the previous field.

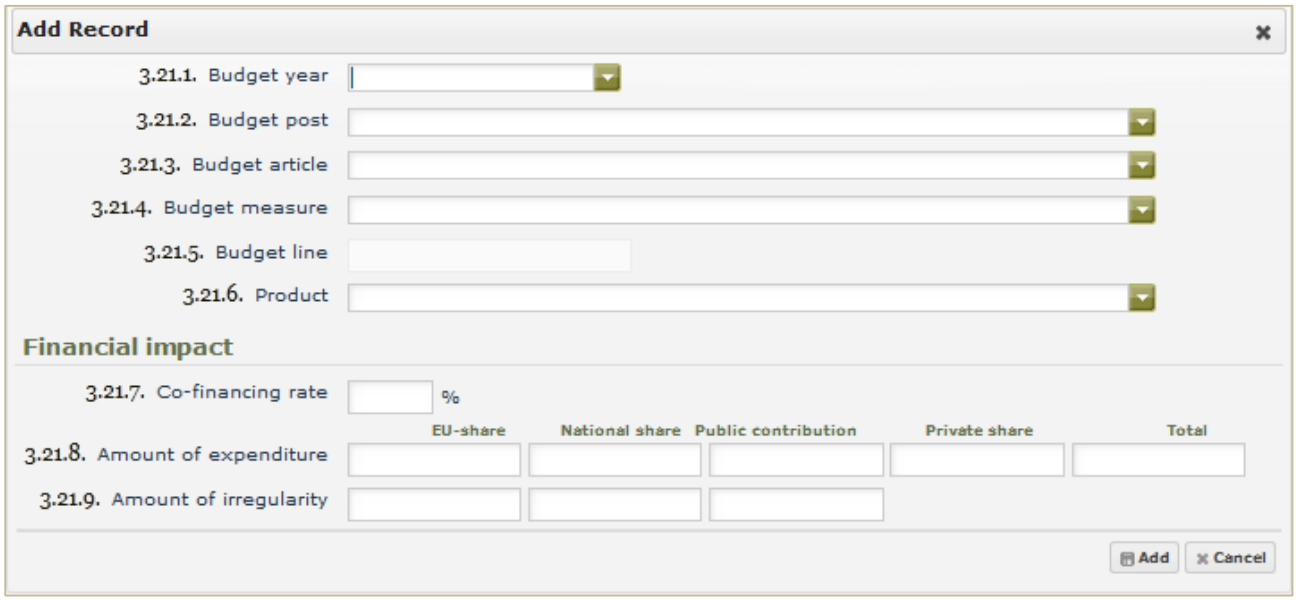
3.19. NUTS level 3

You need to select from the drop-down-list one of the offered values. The values in the drop-down-list depend on the value selected in the previous field.

3.20. Competent authority

The name of the competent authority, which could be for instance a Managing Authority (MA) or a Paying Agency (PA), should be indicated. It concerns the tab page “operation” thus the authority that granted the support measure should be indicated.


Agriculture
3.21. Budget line
Budget year
Budget line
Amount of irregularity (EU share)
Page 1 of 0
No records to view
EU-share
National share
Public contribution
Private share
Total
3.22. Total amount of expenditure
3.23. Total amount of irregularity
Save
Validate
Finalize
Send
Cancel


Add Record
3.21.1. Budget year
3.21.2. Budget post
3.21.3. Budget article
3.21.4. Budget measure
3.21.5. Budget line
3.21.6. Product
Financial impact
3.21.7. Co-financing rate
%
EU-share
National share
Public contribution
Private share
Total
3.21.8. Amount of expenditure
3.21.9. Amount of irregularity
Add
Cancel

Section - Agriculture

This section contains information concerning EAGF and EAFRD measures.

The section contains a multi-value-group which means that more than one value can be processed. In other words, more than one measure can be indicated.

A multi-value-group has additional buttons which need to be used to save, edit or delete data. You will find on top of the multi-value-group find the following buttons:

 – **Add** : key in new information
– **Edit** : edit the details of information on a person already keyed in
 – **View** : view the details of information on a person already keyed in
 – **Delete** : remove a person.

As soon as you have added information in the multi-value-group you need to click the button **Add** in order to save the information. You will find this button together with the button **Cancel** at the bottom of the multi-value group:

Not clicking on one of these buttons means that you cannot proceed with your work.

3.21. Budget line

Field 3.21. is the parent field of the multi-value-group. By filling in the sub-fields, the parent field will be automatically filled.

You need to click on to enter the multi-value-group.

The budget lines are based on the DGAGRI-nomenclature. OLAF updates the drop-down-lists several times per year but it can occur that the youngest version has not yet uploaded. In case you miss a budget line, please inform OLAF via your Liaison-Officer (LO).

3.21.1. Budget year

You need to select from the drop-down-list the budget year in which the expenditure was charged to the budget.

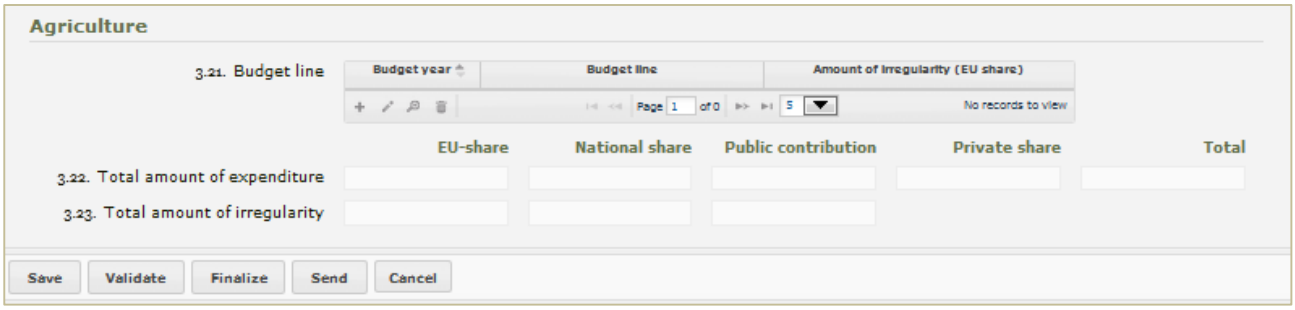
The agriculture year runs from 16 October year n until 15 October year n+1.

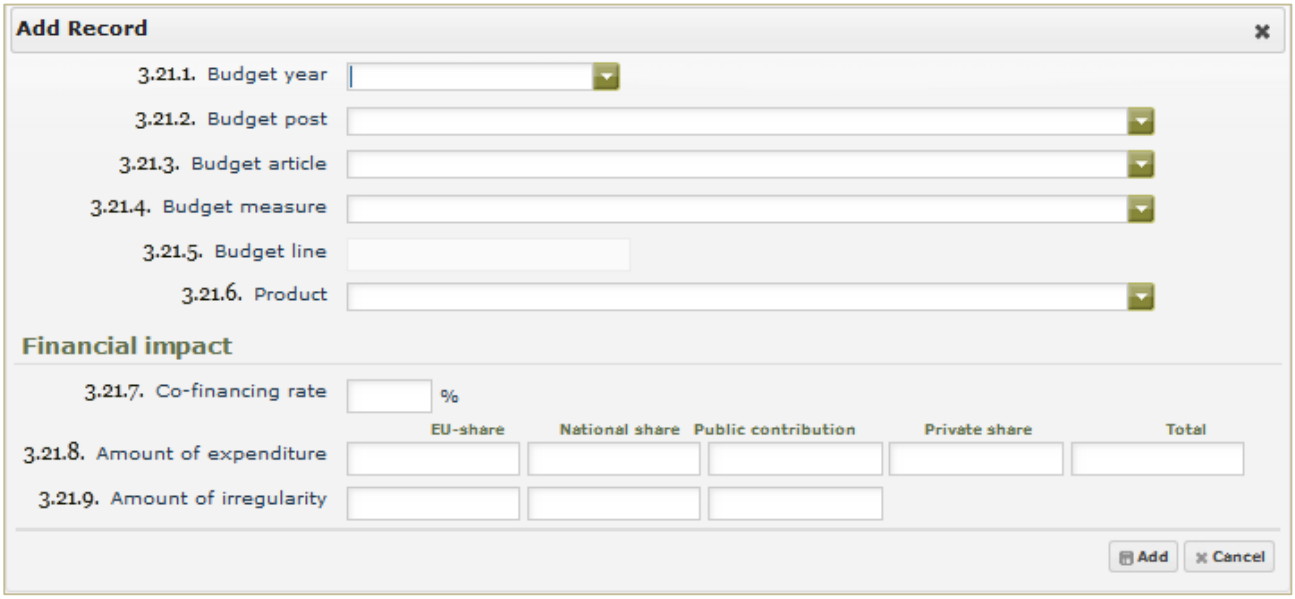
3.21.2. Budget post

You need to select from the drop-down-list the applicable value. The options are based on your choices in the previous field.

3.21.3. Budget article

You need to select from the drop-down-list the applicable value. The options are based on your choices in the previous fields.


Agriculture
3.21. Budget line
Budget year
Budget line
Amount of irregularity (EU share)
Page 1 of 0
5
No records to view
EU-share
National share
Public contribution
Private share
Total
3.22. Total amount of expenditure
3.23. Total amount of irregularity
Save
Validate
Finalize
Send
Cancel


Add Record
3.21.1. Budget year
3.21.2. Budget post
3.21.3. Budget article
3.21.4. Budget measure
3.21.5. Budget line
3.21.6. Product
Financial impact
3.21.7. Co-financing rate
%
EU-share
National share
Public contribution
Private share
Total
3.21.8. Amount of expenditure
3.21.9. Amount of irregularity
Add
Cancel

3.21.4. Budget measure

You need to select from the drop-down-list the applicable value. The options are based on your choices in the previous fields.

3.21.5. Budget line

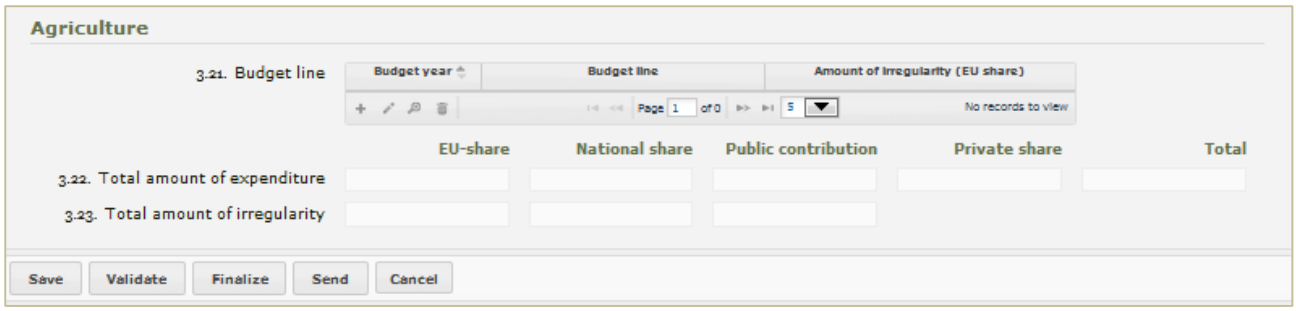
IMS generates on basis of the information provided by you in the previous fields the applicable budget line.

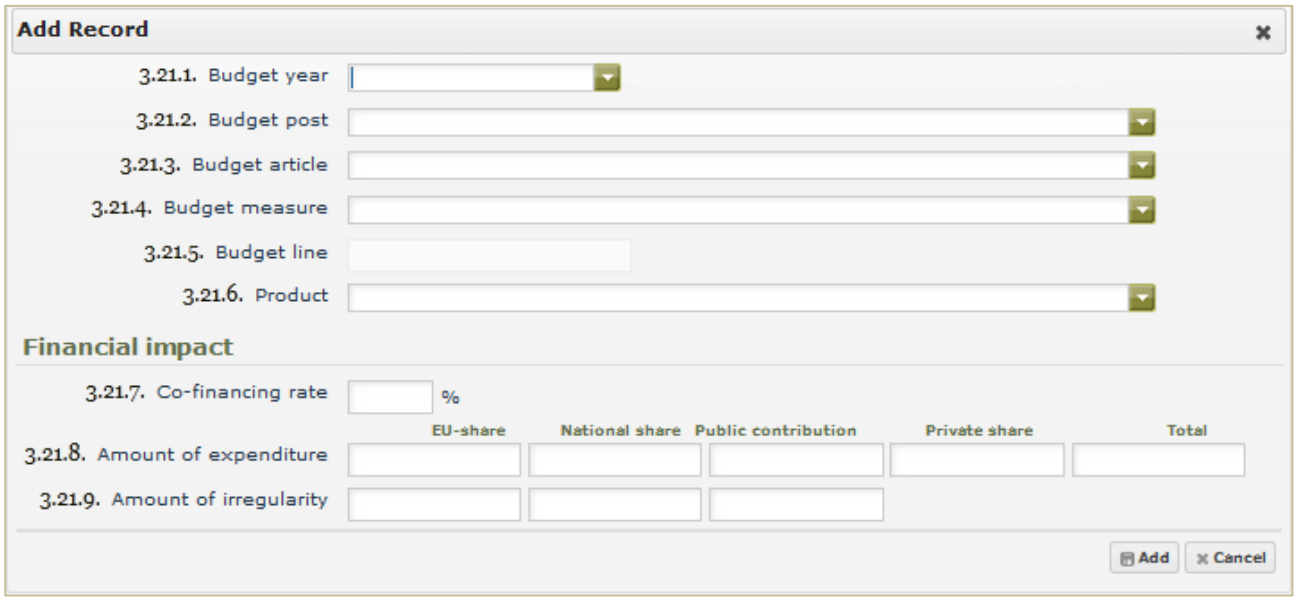
The field remains empty in case a value is missing in one or more of the previous fields (3.21.1. - .3.21.4).

3.21.6. Product (CN-code)

You need to select from the drop-down-list the applicable value. The list is based on the CN-code (Combined Nomenclature).

In case the support measure does not concern a specific product, the code 0000 (=not applicable) need to be indicated.


Agriculture
3.21. Budget line
Budget year
Budget line
Amount of irregularity (EU share)
Page 1 of 0
No records to view
EU-share
National share
Public contribution
Private share
Total
3.22. Total amount of expenditure
3.23. Total amount of irregularity
Save
Validate
Finalize
Send
Cancel


Add Record
3.21.1. Budget year
3.21.2. Budget post
3.21.3. Budget article
3.21.4. Budget measure
3.21.5. Budget line
3.21.6. Product
Financial impact
3.21.7. Co-financing rate
%
EU-share
National share
Public contribution
Private share
Total
3.21.8. Amount of expenditure
3.21.9. Amount of irregularity
Add
Cancel

Section - Agriculture – financial impact

This sub section contains detailed information on the financial impact of the irregularity.

To have a correct relation between the expenditure and the irregular amount, the financial impact needs to be indicated per support measure.

IMS does not do any automatic calculations. You need to indicate all amounts manually. In case of "calculation errors", IMS will give a warning but will not block the reporting. In other words, you can indicate non-matching-calculations.

3.21.7. Amount of expenditure

You need to indicate the total amount of the expenditure distributed over EU-share, national-share and private share.

The EU-share and national-share form together the public contribution.

The EU-share, national-share and private share form together the total.

3.21.8. Amount of irregularity

You need to indicate the irregular amount relating to the expenditure as indicated in the previous field.

The EU-share and national-share form together the public contribution and the total.

Be aware that this amount should not include interests, fines and penalties.

3.22. Total amount of expenditure

IMS generates the amounts on basis of the information provided in field 3.21.7. Amount of expenditure.

If for instance 5 budget lines have been indicated, the total expenditure concerning these 5 budget lines will be calculated by IMS.

The amounts are automatically transferred to tab page 6 Amounts.

3.23. Total amount of irregularity

IMS generates the amounts on basis of the information provided in field 3.21.8. Amount of irregularity.

If for instance 5 budget lines have been indicated, the total irregular amount concerning these 5 budget lines will be calculated by IMS.

The amounts are automatically transferred to tab page 6 Amounts. You can edit the amounts on tab page 6 but be aware that the amounts will not be updated on this tab page.

NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
10. OLAF Specific
Information leading to suspicion of an irregularity
4.1. Date
07/12/2004
(dd/mm/yyyy)
4.2. Source
article in the Gerald Tribune
Provisions Infringed
4.3. Provisions – EU
EU legislation
Number
Year
Article and paragraph
Page 1 of 0
No records to view
4.4. Provisions - national
2000

Provisions Infringed
4.3. Provisions – EU
Add Record
4.3.1. EU legislation
4.3.2. Number
4.3.3. Year
4.3.4. Article and paragraph
Add
Cancel

3.5 Tab page 4: Irregularity

Tab page 4 contains information on the irregularity itself. The first part of the tab page contains more general information as the second part provides answers on questions as who, what, where, why, when.

Section - Information leading to a suspicion of an irregularity

This section contains information that led to the discovery of an irregularity.

Example:
On 7 February 2014 you read in the Gerald Tribune that EU-subsidies were obtained by a person who was absolutely not eligible for support. Official documents were modified in order to mislead civil servants.

4.1. Date

You need to indicate the date on which information was received that led to the suspicion that an irregularity had been committed.

Example:
The date on which you read the Gerald Tribune should be indicated: 07/02/2014

4.2. Source

You need to indicate the source of the information that led to the suspicion that an irregularity had been committed.

Example:
The source of your information is: Gerald Tribune

Section - Provisions infringed

This section contains a multi-value-group which means that more than one value can be processed. In other words, more than one provision can be indicated.

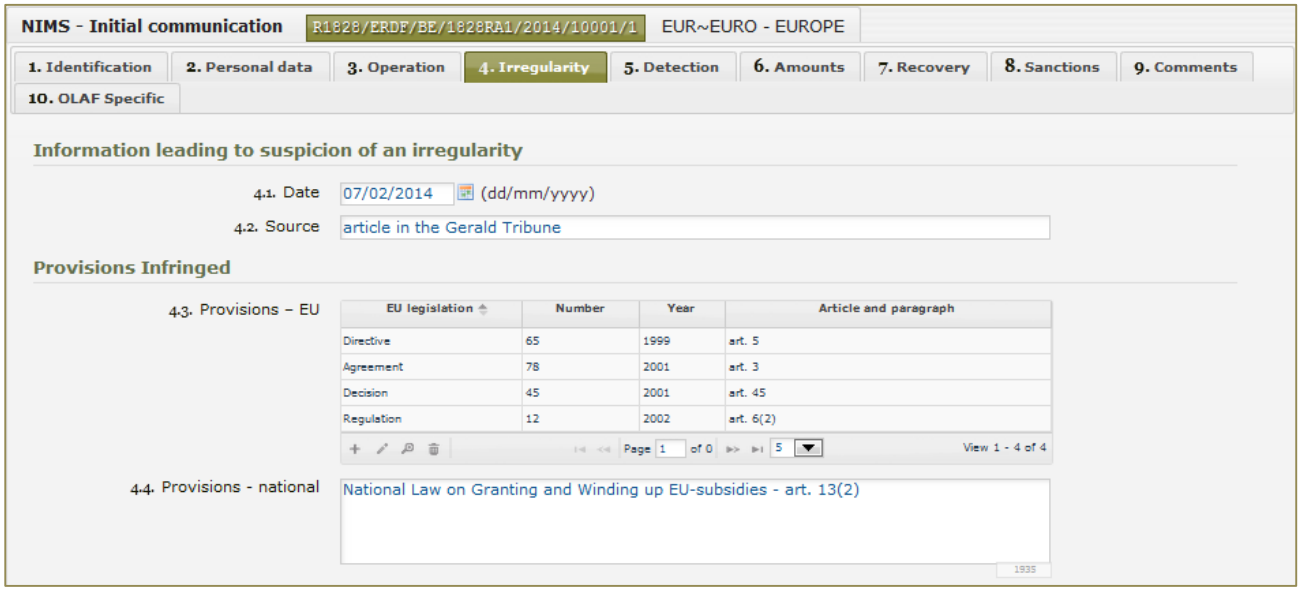
A multi-value-group has additional buttons which need to be used to save, edit or delete data. You will find on top of the multi-value-group the following buttons:

– **Add** : key in new information
– **Edit** : edit the details of information on a person already keyed in
– **View** : view the details of information on a person already keyed in
– **Delete** : remove a person.

As soon as you have finished putting information in the multi-value-group, you need to click the button **Add** in order to save the information. You will find this button together with the button **Cancel** at the bottom of the multi-value group. The button **Cancel** can be used to cancel the information that just has been put in. Be aware that not clicking on one of these buttons means that you cannot proceed with your work.

NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
10. OLAF Specific
Information leading to suspicion of an irregularity
4.1. Date
07/12/2004
(dd/mm/yyyy)
4.2. Source
article in the Gerald Tribune
Provisions Infringed
4.3. Provisions – EU
EU legislation
Number
Year
Article and paragraph
Page 1 of 0
No records to view
4.4. Provisions - national
2000

Provisions Infringed
4.3. Provisions – EU
Add Record
4.3.1. EU legislation
4.3.2. Number
4.3.3. Year
4.3.4. Article and paragraph
Add
Cancel


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Information leading to suspicion of an irregularity
4.1. Date
07/02/2014
(dd/mm/yyyy)
4.2. Source
article in the Gerald Tribune
Provisions Infringed
4.3. Provisions – EU
EU legislation
Number
Year
Article and paragraph
Directive 65 1999 art. 5
Agreement 78 2001 art. 3
Decision 45 2001 art. 45
Regulation 12 2002 art. 6(2)
Page 1 of 0
View 1 - 4 of 4
4.4. Provisions - national
National Law on Granting and Winding up EU-subsidies - art. 13(2)
1935

4.3. Provisions – EU

Field 4.3. is the parent field of the multi-value-group. By filling in the sub-fields, the parent field will be automatically filled.

You need to click on to enter the multi-value-group:

For illustration purposes, 4 different types of provisions have been indicated as an example. You will see that in the last image on the left hand side page.

4.3.1. EU-legislation

You need to select from the drop-down-list one of the following options:
DEC = decision
DIR = directive
REG = regulation
AGR = agreement

4.3.2. Number

You need to indicate the number of the decision, directive, regulation or agreement concerned,

Example: in case of an infringement of Reg. 12/2002 you need to indicate 12.

4.3.3. Year

You need to indicate the year of the decision, directive, regulation or agreement concerned.

Example: in case of an infringement of Reg. 12/2002 you need to indicate 2002.

4.3.4. Article and paragraph

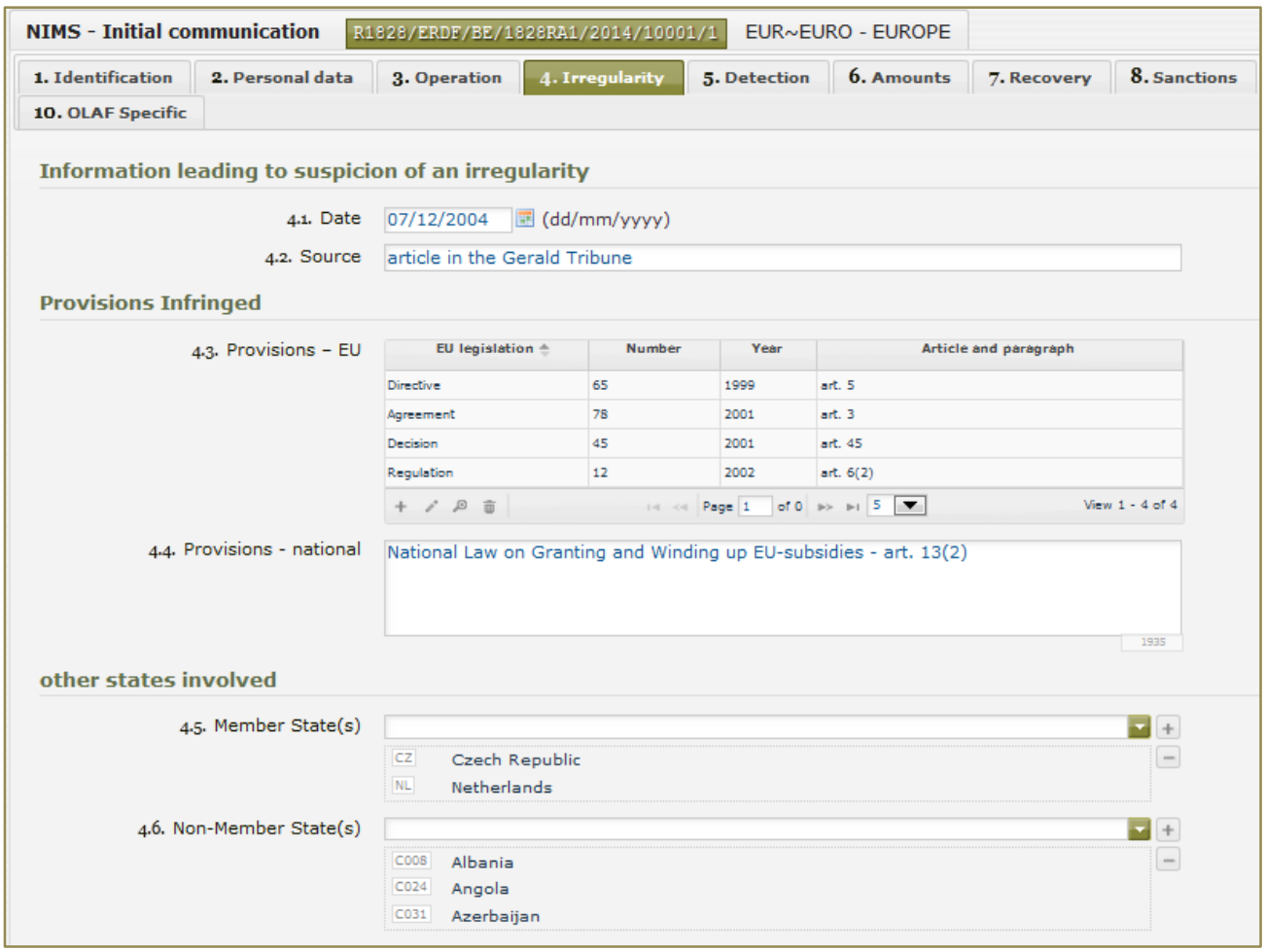
You need to indicate the article and paragraph of the provisions infringed.

Example: for illustration purposes article 6 and paragraph 2 have been indicated: art. 6(2)

4.4. Provisions - national

You need to indicate, if applicable, the national provisions infringed. It concerns a text field which implies that it is form free.

Example: for illustration purposes the following text has been indicated:
National law on Granting and Winding up EU-subsidies – art. 13(2)


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
10. OLAF Specific
Information leading to suspicion of an irregularity
4.1. Date
07/12/2004
(dd/mm/yyyy)
4.2. Source
article in the Gerald Tribune
Provisions Infringed
4.3. Provisions – EU
EU legislation
Number
Year
Article and paragraph
Directive
65
1999
art. 5
Agreement
78
2001
art. 3
Decision
45
2001
art. 45
Regulation
12
2002
art. 6(2)
Page 1 of 0
5
View 1 - 4 of 4
4.4. Provisions - national
National Law on Granting and Winding up EU-subsidies - art. 13(2)
1935
other states involved
4.5. Member State(s)
CZ Czech Republic
NL Netherlands
4.6. Non-Member State(s)
C008 Albania
C024 Angola
C031 Azerbaijan

Section - Other countries involved

This section contains information on other countries involved. This can be Member States but also non-Member States.

Simple examples of other countries involved are for instance the destination country of export products or other countries involved in cross border programmes.

For many cases count that no other countries are involved. In such case, you can just skip this section and leave the field empty.

4.5. Member States

You need to indicate the other Member State(s) involved.

This field is a multiple selection field which means that you can select more than one option. You need to apply the following steps:

11. select a value from the drop-down-list by clicking on the value
12. click the button +
13. the value is added to your reporting list
14. repeat this to add one or more other options

Please do not forget to click the button + otherwise the information will not be saved.

Example:
For illustration purposes the following countries have been indicated:
CZ Czech Republic
NL Netherlands

4.6. Non-Member State(s)

You need to indicate the non-Member State(s) involved.

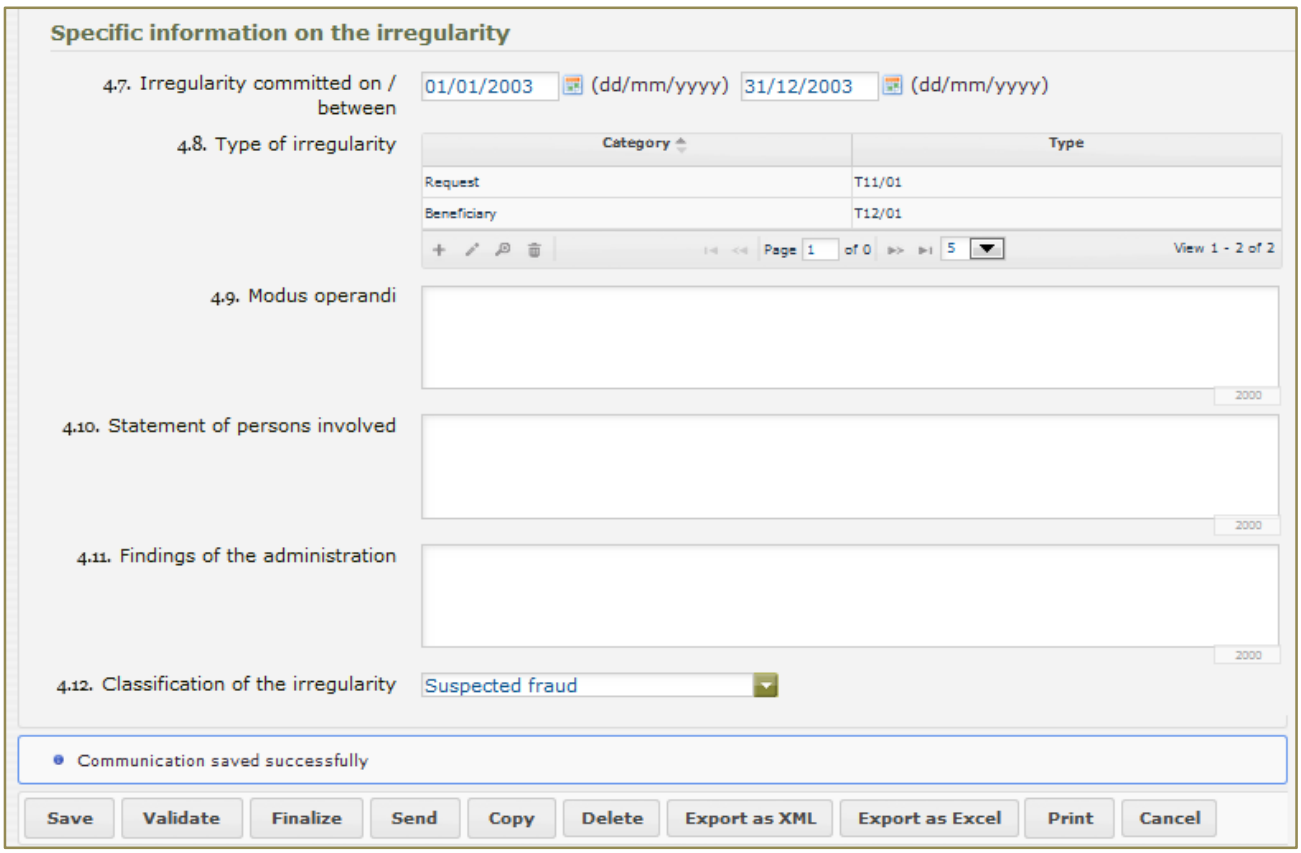
This field is a multiple selection field which means that you can select more than one option. You need to apply the following steps:

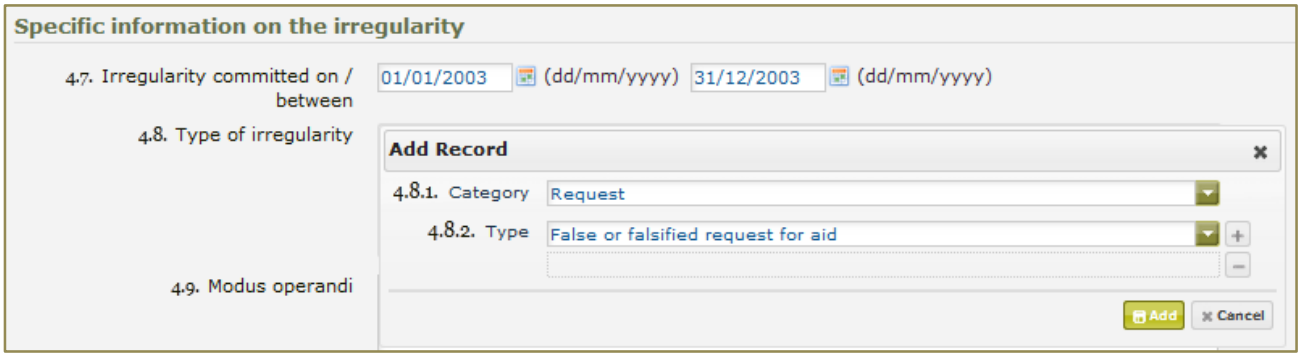
15. select a value from the drop-down-list by clicking on the value
16. click the button +
17. the value is added to your reporting list
18. repeat this to add one or more other options

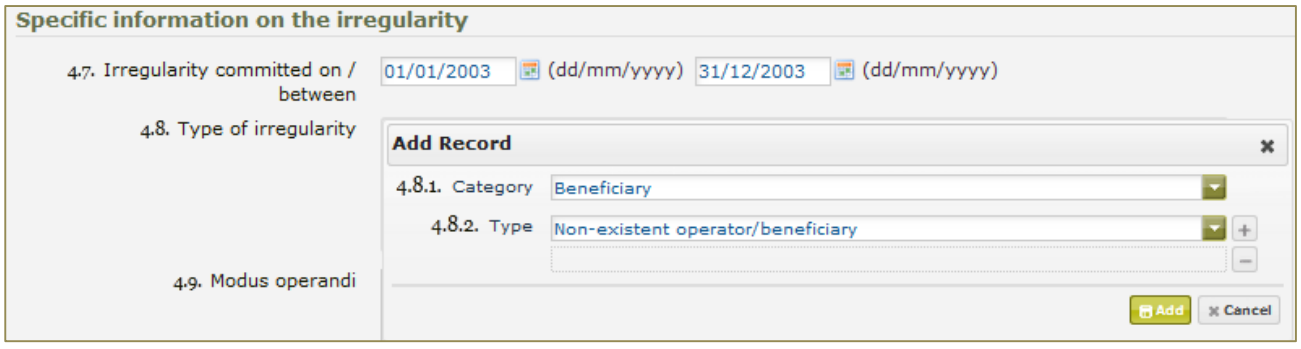
Please do not forget to click the button + otherwise the information will not be saved.

Example:
For illustration purposes the following countries have been indicated:

- C008 Albania
- C024 Angola
- C031 Azerbaijan


Specific information on the irregularity
4.7. Irregularity committed on / between
01/01/2003 (dd/mm/yyyy) 31/12/2003 (dd/mm/yyyy)
4.8. Type of irregularity
Category
Type
Request
T11/01
Beneficiary
T12/01
Page 1 of 0
View 1 - 2 of 2
4.9. Modus operandi
4.10. Statement of persons involved
4.11. Findings of the administration
4.12. Classification of the irregularity
Suspected fraud
Communication saved successfully
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel


Specific information on the irregularity
4.7. Irregularity committed on / between
01/01/2003 (dd/mm/yyyy) 31/12/2003 (dd/mm/yyyy)
4.8. Type of irregularity
Add Record
4.8.1. Category
Request
4.8.2. Type
False or falsified request for aid
4.9. Modus operandi
Add
Cancel


Specific information on the irregularity
4.7. Irregularity committed on / between
01/01/2003 (dd/mm/yyyy) 31/12/2003 (dd/mm/yyyy)
4.8. Type of irregularity
Add Record
4.8.1. Category
Beneficiary
4.8.2. Type
Non-existent operator/beneficiary
4.9. Modus operandi
Add
Cancel

Section - Specific information on the irregularity

This section contains more specific and detailed information on the irregularity itself. Answers on typical questions such as what, when, why and how can be found here.

4.7 Irregularity committed on / between

You need to indicate the date on which or the period in which the irregularity was committed.

In case the irregularity started and ended on the same day, you only need to fill in the first field (the field in which the word “from” appears if you move the mouse over it) and not the second field.

If the start day or end day is not exactly known, the first day or last day of the month may be indicated respectively.

Be aware that you cannot enter future dates.

Example:
An irregularity took place during the year 2003. As dates are indicated: 01/01/2003 – 31/12/2003

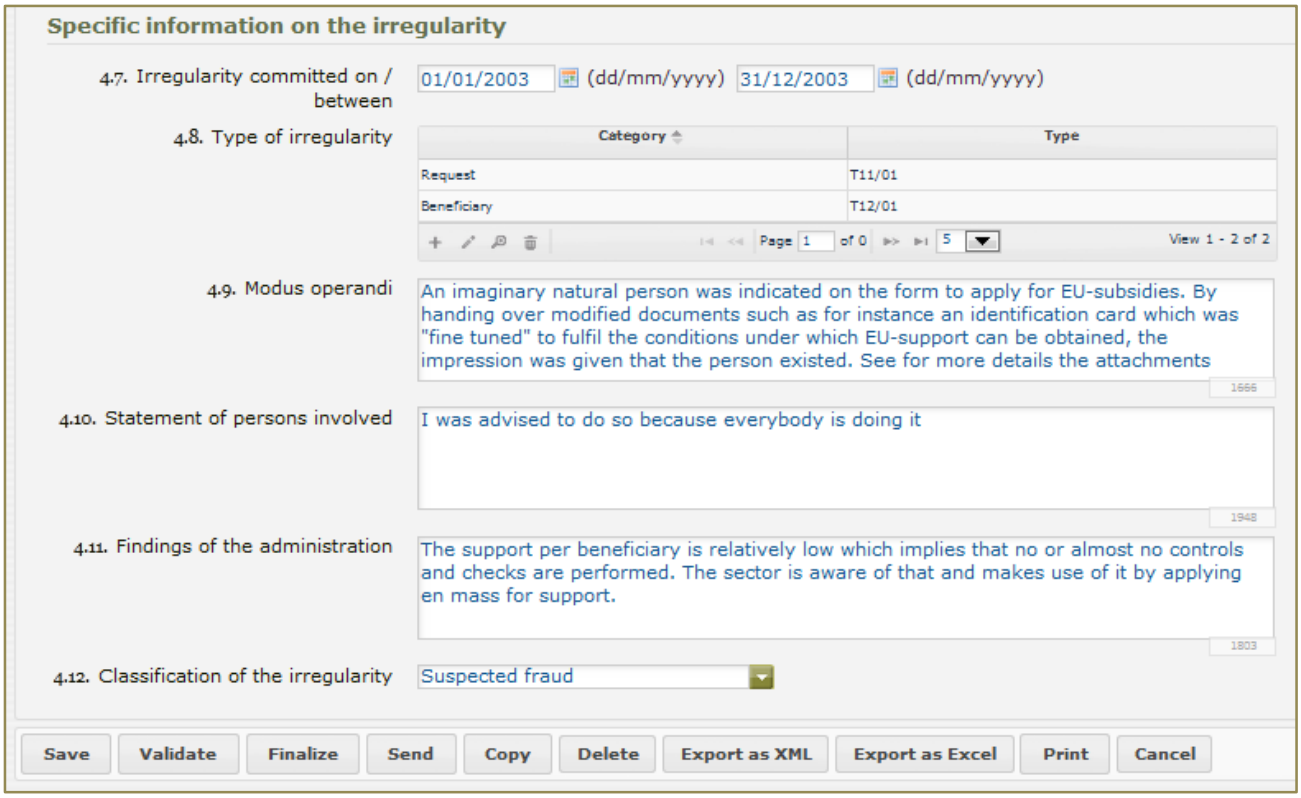
4.8. Type of irregularity

You need to indicate the type(s) of irregularity. The types of irregularity have been grouped into main categories. Within those categories you have to select a type of irregularity.

The field is a multiple selection field which means that you can select more than one category and type. You need to apply the following steps
1. select a category from the drop-down-list by a simple click
2. select a type from the drop-down-list by a simple click
2. click the button +
3. category and item are added to your reporting list
4. repeat these steps to add one or more to your reporting list

Please do not forget to click the button + otherwise the information will not be saved.

Example:
The following 2 types of irregularity have been keyed in:
Request / false of falsified request for aid
Beneficiary / non-existent operator or beneficiary


Specific information on the irregularity
4.7. Irregularity committed on / between
01/01/2003 (dd/mm/yyyy) 31/12/2003 (dd/mm/yyyy)
4.8. Type of irregularity
Category
Type
Request
T11/01
Beneficiary
T12/01
Page 1 of 0
5
View 1 - 2 of 2
4.9. Modus operandi
An imaginary natural person was indicated on the form to apply for EU-subsidies. By handing over modified documents such as for instance an identification card which was "fine tuned" to fulfil the conditions under which EU-support can be obtained, the impression was given that the person existed. See for more details the attachments
1666
4.10. Statement of persons involved
I was advised to do so because everybody is doing it
1948
4.11. Findings of the administration
The support per beneficiary is relatively low which implies that no or almost no controls and checks are performed. The sector is aware of that and makes use of it by applying en mass for support.
1803
4.12. Classification of the irregularity
Suspected fraud
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel

Specific information on the irregularity
4.7. Irregularity committed on / between
01/01/2003 (dd/mm/yyyy) 31/12/2003 (dd/mm/yyyy)
4.8. Type of irregularity
Add Record
4.8.1. Category
Request
4.8.2. Type
False or falsified request for aid
4.9. Modus operandi
Add
Cancel

4.8.1. Category
The types of irregularity have been grouped into the following main categories:
request
beneficiary
accounts and records
documentary proof
product, species and/or land
(non-)action
movement
bankruptcy
ethics and integrity
other
within those categories you have to select a type of irregularity (next field).

Example:
2 categories have been selected:
request
beneficiary

4.8.2. Type
You have to select a value of the drop-down-list on basis of the selection made in field '4.8.1.Category'.

Example:
The types that have been selected are:
false or falsified request for aid
non-existent operator or beneficiary

4.8.3. Type of irregularity
IMS shows the selected type(s) of irregularity. These values are automatically generated on basis of the values entered in the fields category and type.

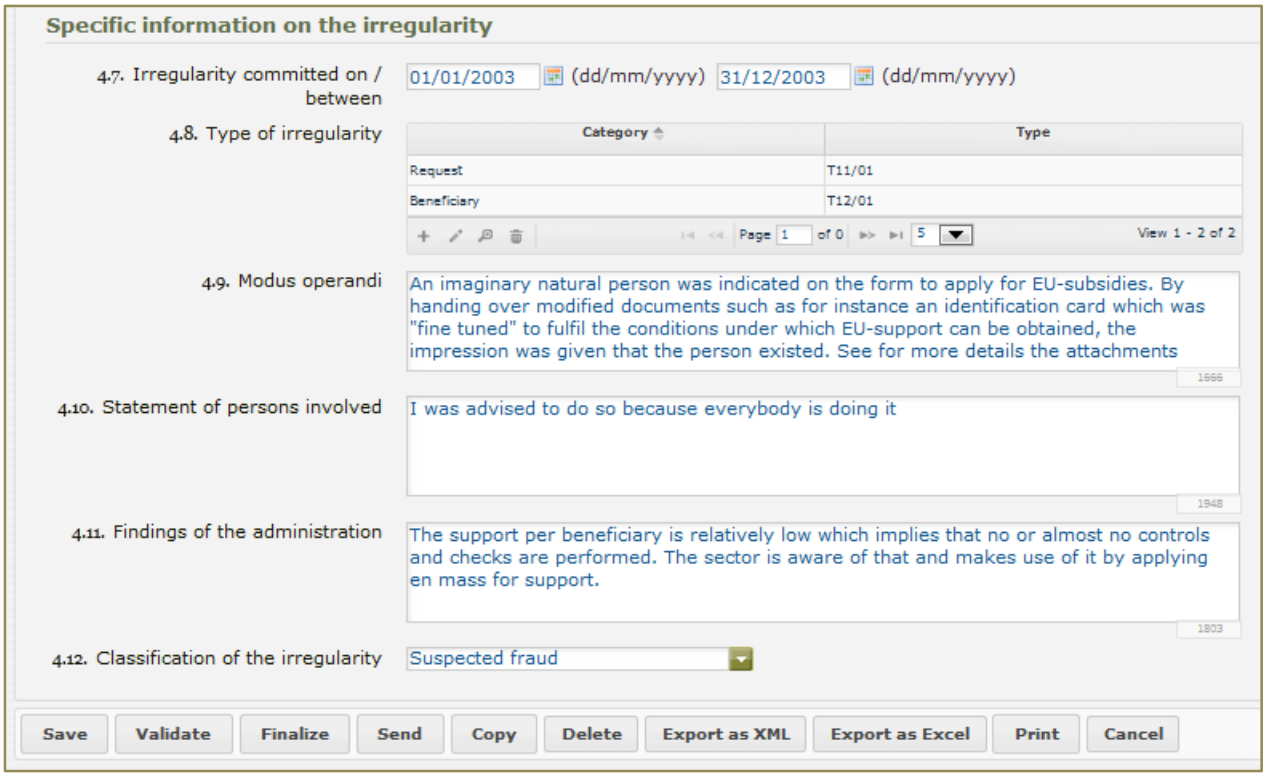
4.9. Modus operandi
You need to describe the practices employed in committing the irregularity, the MO.

A more in depth description of the applied MO will improve the analyses performed by IMS itself (IMS-reports) reporting tool) as well as the analyses performed by analysts of OLAF, Member States and candidate countries.

Example: see image on the left hand side page

4.10. Statement of persons involved
It is common practice that a person involved is asked to react on the findings of an authority (principle that both sides should be heard). You need to note such reactions in this field. See the example in the image on the left hand side page

4.11. Findings of the administration
The findings of the authority after having heard the person(s) involved (see field 4.10.) need to be noted in this field. See the example in the image on the left hand side page.


Specific information on the irregularity
4.7. Irregularity committed on / between
01/01/2003 (dd/mm/yyyy) 31/12/2003 (dd/mm/yyyy)
4.8. Type of irregularity
Category
Type
Request
T11/01
Beneficiary
T12/01
Page 1 of 0
View 1 - 2 of 2
4.9. Modus operandi
An imaginary natural person was indicated on the form to apply for EU-subsidies. By handing over modified documents such as for instance an identification card which was "fine tuned" to fulfil the conditions under which EU-support can be obtained, the impression was given that the person existed. See for more details the attachments
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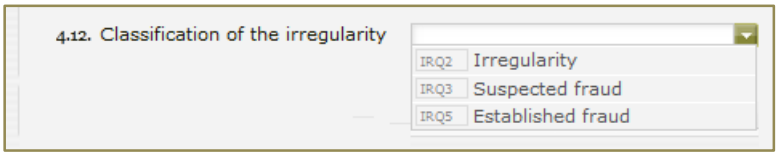
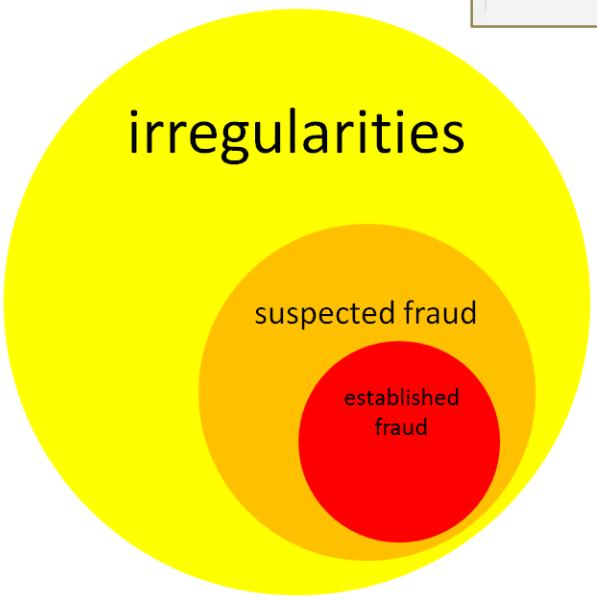
4.10. Statement of persons involved
I was advised to do so because everybody is doing it
1948
4.11. Findings of the administration
The support per beneficiary is relatively low which implies that no or almost no controls and checks are performed. The sector is aware of that and makes use of it by applying en mass for support.
1803
4.12. Classification of the irregularity
Suspected fraud
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel


4.12. Classification of the irregularity
IRQ2 Irregularity
IRQ3 Suspected fraud
IRQ5 Established fraud


irregularities
suspected fraud
established fraud

4.12. Classification of the irregularity

You need to classify the irregularity by selecting from the drop-down-list one of the following values:
IRQ2 = irregularity
IRQ3 = suspected fraud
IRQ5 = established fraud

Example:
The case has been classified as “suspected fraud” on basis of the applied modus operandi and the statement made by the person involved.

Ad IRQ2 = irregularity in sense of Reg. 2988/95
You should classify the case as “irregularity” if it was committed unintentionally. If there was any intent, the case should most likely be classified as IRQ3.

Ad IRQ3 = suspected fraud
You should classify the case as “suspected fraud” if the irregularity was committed intentionally, wilfully or on purpose. Simple examples of “suspected fraud” are all types of irregularity in which the word “false” or “falsified” are used such as for instance false or falsified documents.

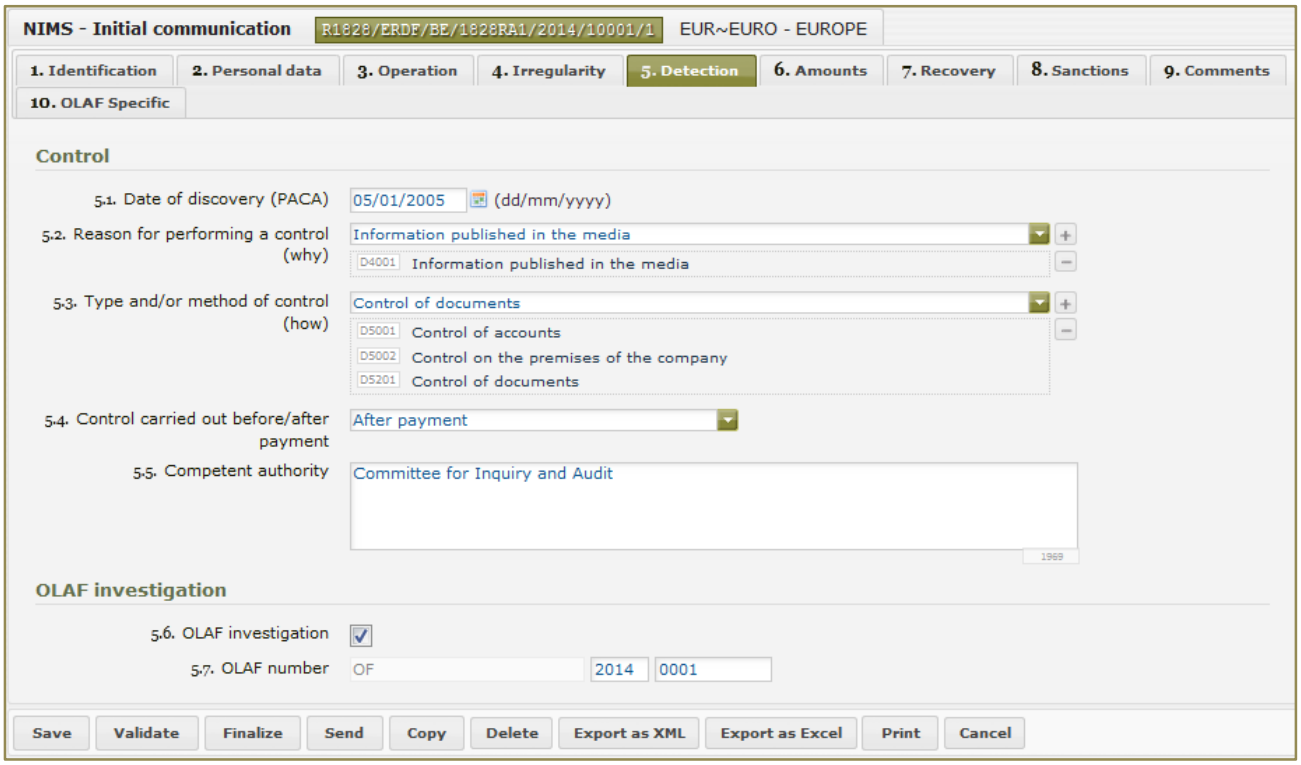
Ad IRQ5 = established fraud
You should classify the case as “established fraud” when the fraud it has been proven in Court. In other words, there must be a Court decision.

Suspected fraud is a sub set of the collection irregularities. Established fraud is a sub set of the collection suspect fraud.

All frauds are irregularities but not all irregularities are fraud!

When you update an initial communication, an additional classification becomes available: IRQ0

Ad IRQ0 = no irregularity
You can use the code IRQ0 for cases in which it became that there was no irregularity. Updating an initial communication with IRQ0 selected means that you cancel the case which implies that IMS will delete almost all data. Only the reference data on tab page 1 will stay.


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Control
5.1. Date of discovery (PACA)
05/01/2005
(dd/mm/yyyy)
5.2. Reason for performing a control (why)
Information published in the media
D4001 Information published in the media
5.3. Type and/or method of control (how)
Control of documents
D5001 Control of accounts
D5002 Control on the premises of the company
D5201 Control of documents
5.4. Control carried out before/after payment
After payment
5.5. Competent authority
Committee for Inquiry and Audit
1969
OLAF investigation
5.6. OLAF investigation
5.7. OLAF number
OF
2014
0001
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel

3.6 Tab page 5: Detection

Tab page Detection provides information on how the irregularity was detected.

Section - Control

This section contains information on the controls performed by the competent authorities.

5.1. Date of discovery (PACA)
You need to indicate the date on which the irregularity was discovered.

The acronym PACA stands for the French description **P**remier **A**cte de **C**onstat **A**dministratif. You will find the definition in the applicable regulation.

PACA is the first written assessment of a competent authority, either administrative or judicial, concluding on the basis of actual facts that an irregularity has been committed, without prejudice to the possibility that this conclusion may subsequently have to be adjusted or withdrawn as a result of developments in the course of the administrative or judicial procedure.

Example:
The Gerald Tribune was read on 7 December 2004. An audit was performed at the beginning of January 2005. The findings were put in an audit report on 5 January 2005.

5.2. Reason for performing a control (why)
You need to indicate the reason(s) for carrying out a control. It is an answer on the question why a control was performed. Was there a legal obligation or did a tip trigger the control?

The drop-down-list contains a summary of available options. This could be for instance a tip off, a routine check or a request from another country. You can select more than 1 value.

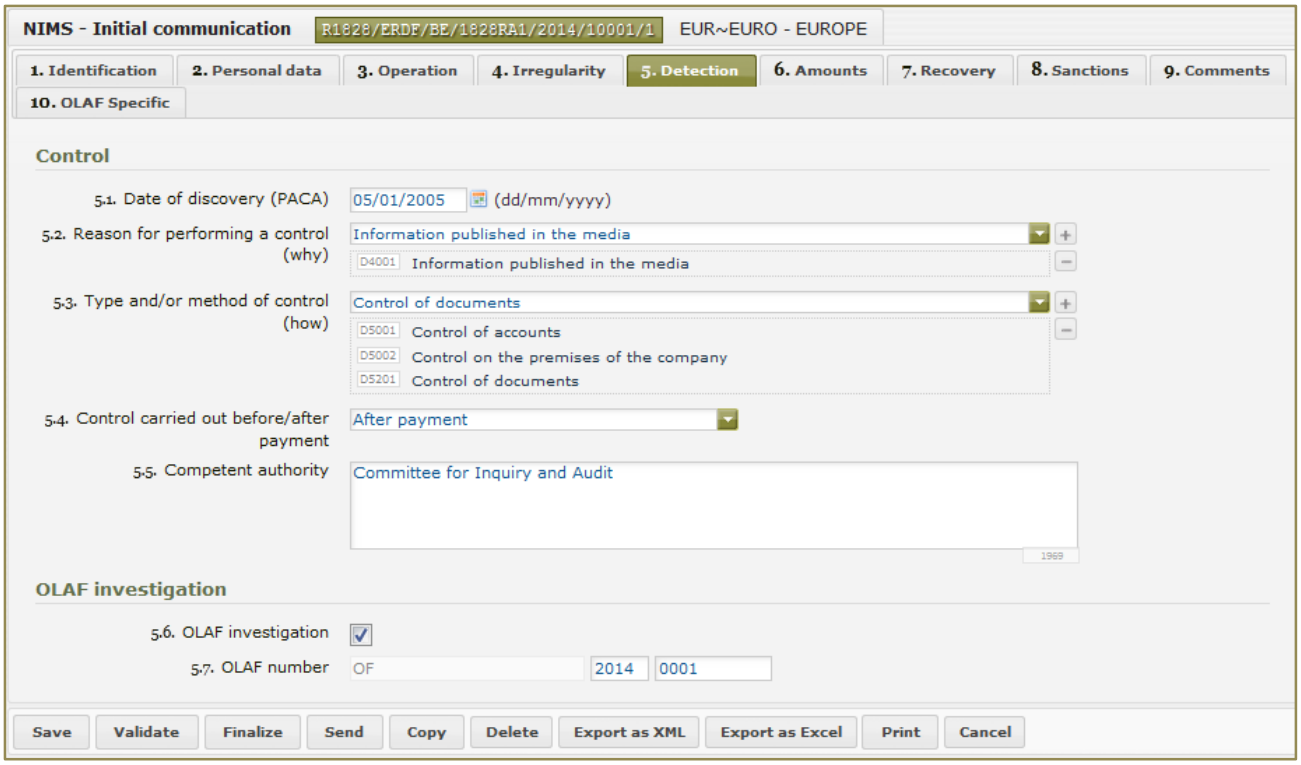
Example:
The article in the Gerald Tribune was the reason to perform an audit thus “ information published in the media”.

5.3. Type and/or method of control (how)
You need to indicate the type of control and/or the method used to perform the check. It is an answer on the question how the control was performed.

The drop-down-list contains a number of options. This could be an analysis of samples or an initial enquiry. You can select more than 1 value.

Example:
The accounts of the person involved and the documents which were used to apply for support were checked on the premises.

5.4. Control carried out before/after payment
You need to indicate if the control was carried out:
before payment
after payment
before as well as after payment


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Control
5.1. Date of discovery (PACA)
05/01/2005
(dd/mm/yyyy)
5.2. Reason for performing a control (why)
Information published in the media
D4001 Information published in the media
5.3. Type and/or method of control (how)
Control of documents
D5001 Control of accounts
D5002 Control on the premises of the company
D5201 Control of documents
5.4. Control carried out before/after payment
After payment
5.5. Competent authority
Committee for Inquiry and Audit
1969
OLAF investigation
5.6. OLAF investigation
5.7. OLAF number
OF
2014
0001
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel

5.5. Competent authority
You need to indicate the authority that was responsible for the detection of the irregularity.

Example:
The CIA (Committee for Inquiry and Audit) performed the audit.

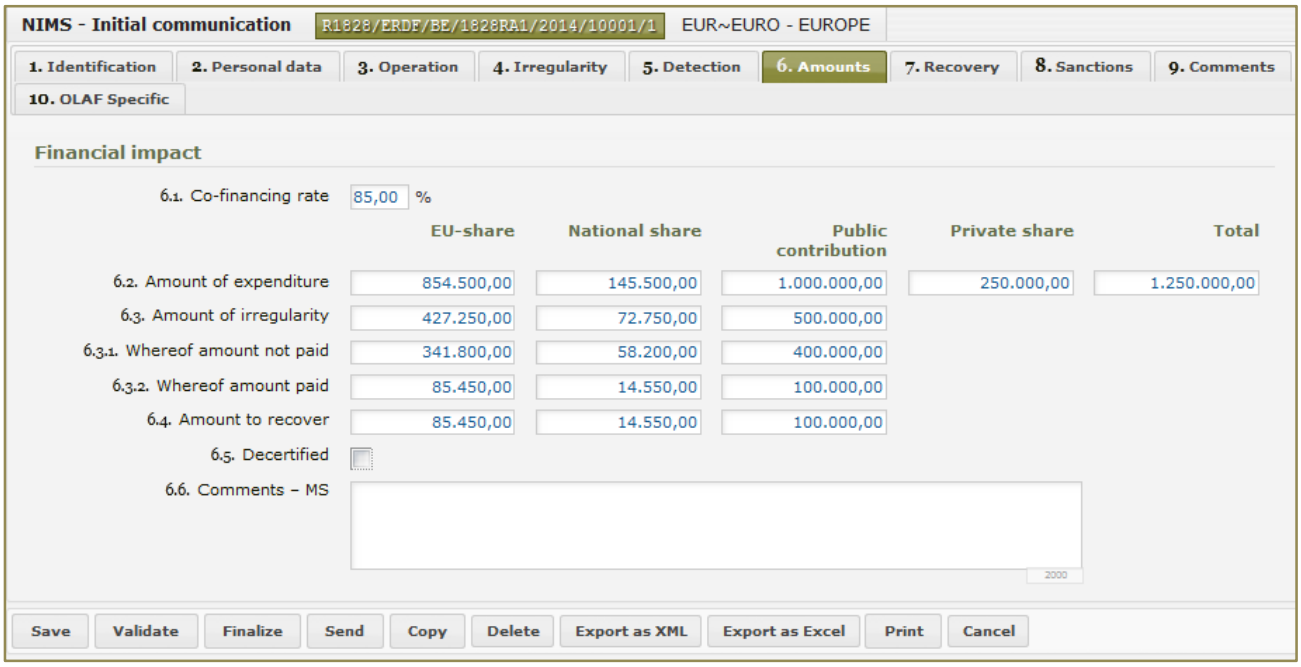
Section - OLAF investigation

This section contains basic information on the question if OLAF launched an investigation. OLAF has the good practice to inform national authorities on investigations started. You can skip this section in case no OLAF-investigation was launched.

Example:
The tick box has been ticked for illustration purposes.

5.6. OLAF investigation
You need to tick the tick box in case OLAF launched an investigation on this case.

5.7. OLAF number
You need to indicate the number of the OLAF-investigation. The OLAF-number consists out of 3 parts:
reference: IMS indicates by default the code OF. You cannot change this code
year : You need to indicate the year in the standard format yyyy
sequence number : you need to indicate in 4 (four) digits the unique sequence number of the case. The value 0 is automatically put before the number if you use less than 4 digits, for instance number 12 will be automatically changed into 0012


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Financial impact
6.1. Co-financing rate
85,00 %
EU-share
National share
Public contribution
Private share
Total
6.2. Amount of expenditure
854.500,00
145.500,00
1.000.000,00
250.000,00
1.250.000,00
6.3. Amount of irregularity
427.250,00
72.750,00
500.000,00
6.3.1. Whereof amount not paid
341.800,00
58.200,00
400.000,00
6.3.2. Whereof amount paid
85.450,00
14.550,00
100.000,00
6.4. Amount to recover
85.450,00
14.550,00
100.000,00
6.5. Decertified
6.6. Comments – MS
2000
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel

3.7 Tab page 6: Amounts

Section - Financial impact

This section contains detailed information on the financial impact. Expenditure and irregular amounts are indicated and split up into public contribution (EU-share and national-share) and private share.

IMS does not do any automatic calculations. You need to indicate all amounts. In case of “calculation errors”, IMS will give a warning but will not block the reporting.

6.3. Amount of irregularity (Public contribution)
The "Public contribution" should be equal to the sum of the "EU share" and the "National share"

In other words, you can indicate not matching calculations.

Be aware that the amounts should not include interests, fines and penalties.

Example:
The amounts indicated are keyed in for illustration purposes (see image on left hand side page).

6.1. Co-financing rate

You need to indicate the officially agreed rate. Be aware that the applied rate can differ from the official rate. Nevertheless, you need to indicate the official rate.

The official rate can be found in SFC2007 or SFC2014. The acronym SFC stands for System for Fund management in the European Community. SFC’s function is the electronic exchange of information concerning shared fund management between Member States and the European Commission as described in the applicable regulations.

6.2 Amount of expenditure

You need to indicate the total amount of the expenditure, split up into EU-share, national-share and private-share.

The public contribution is EU-share and national-share together.

The total expenditure is EU-share, national-share and private share together.

6.3. Amount of irregularity

You need to indicate the irregular amount, split up into EU-share and national-share.

Be aware that it is not relevant if the amount has been paid. You need to provide information on the actual financial impact (amount paid out) and the potential financial impact (amount not paid out thanks to early discovery).

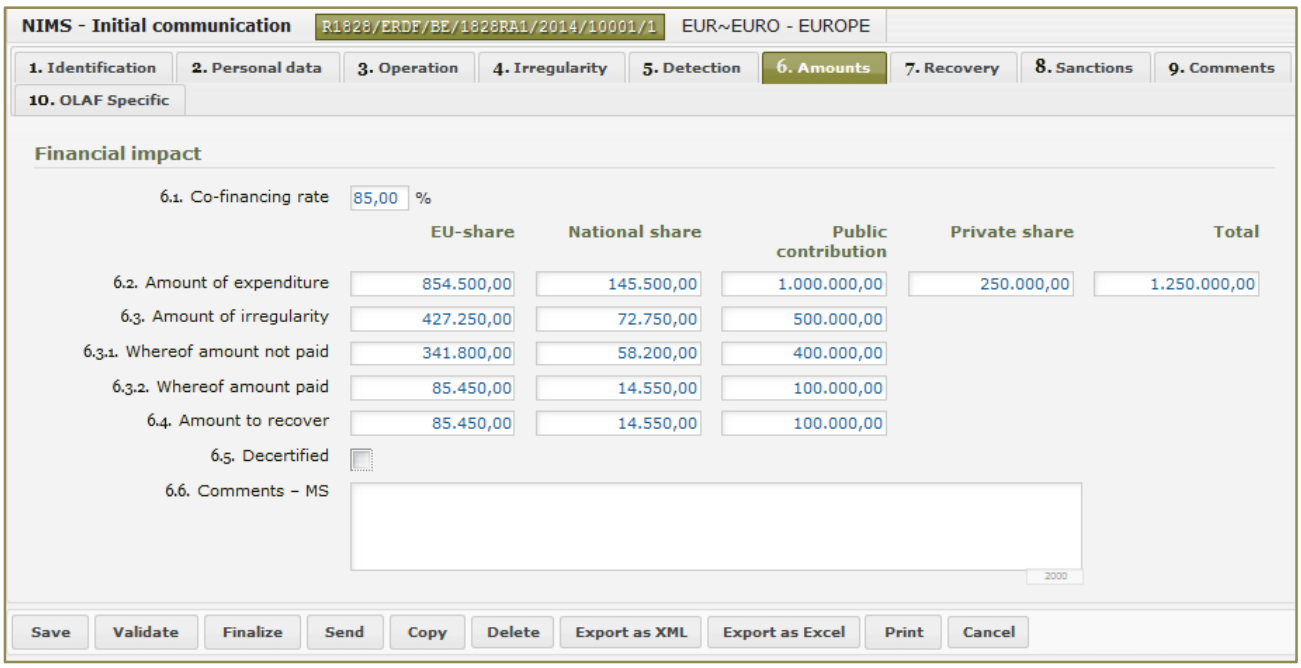
Be also aware that in case repayment takes place in instalments, the amounts indicated in fields 6.3., 6.3.1. and 6.3.2. remain the same. Repayment itself has no impact on the amount of the irregularity; only the outstanding amount is reduced which information can be processed on tab page 7 Recovery.

6.3.1. whereof not paid

You need to indicate the amount that was not paid out as a result of detection before payment. The amount needs to be split up into EU-share and national-share.

6.3.2. whereof paid

You need to indicate the amount that was paid out thus needs to be recovered. The amount needs to be split up into EU-share and national-share.


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Financial impact
6.1. Co-financing rate
85,00 %
EU-share
National share
Public contribution
Private share
Total
6.2. Amount of expenditure
854.500,00
145.500,00
1.000.000,00
250.000,00
1.250.000,00
6.3. Amount of irregularity
427.250,00
72.750,00
500.000,00
6.3.1. Whereof amount not paid
341.800,00
58.200,00
400.000,00
6.3.2. Whereof amount paid
85.450,00
14.550,00
100.000,00
6.4. Amount to recover
85.450,00
14.550,00
100.000,00
6.5. Decertified
6.6. Comments – MS
2000
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel

6.4. Amount to recover

You need to indicate the amount that needs to be recovered. The amount needs to be split up into EU-share and national-share.

Normally, this amount should be equal to the amount indicated in the previous field (6.3.2. Whereof amount paid).

6.5. Decertified

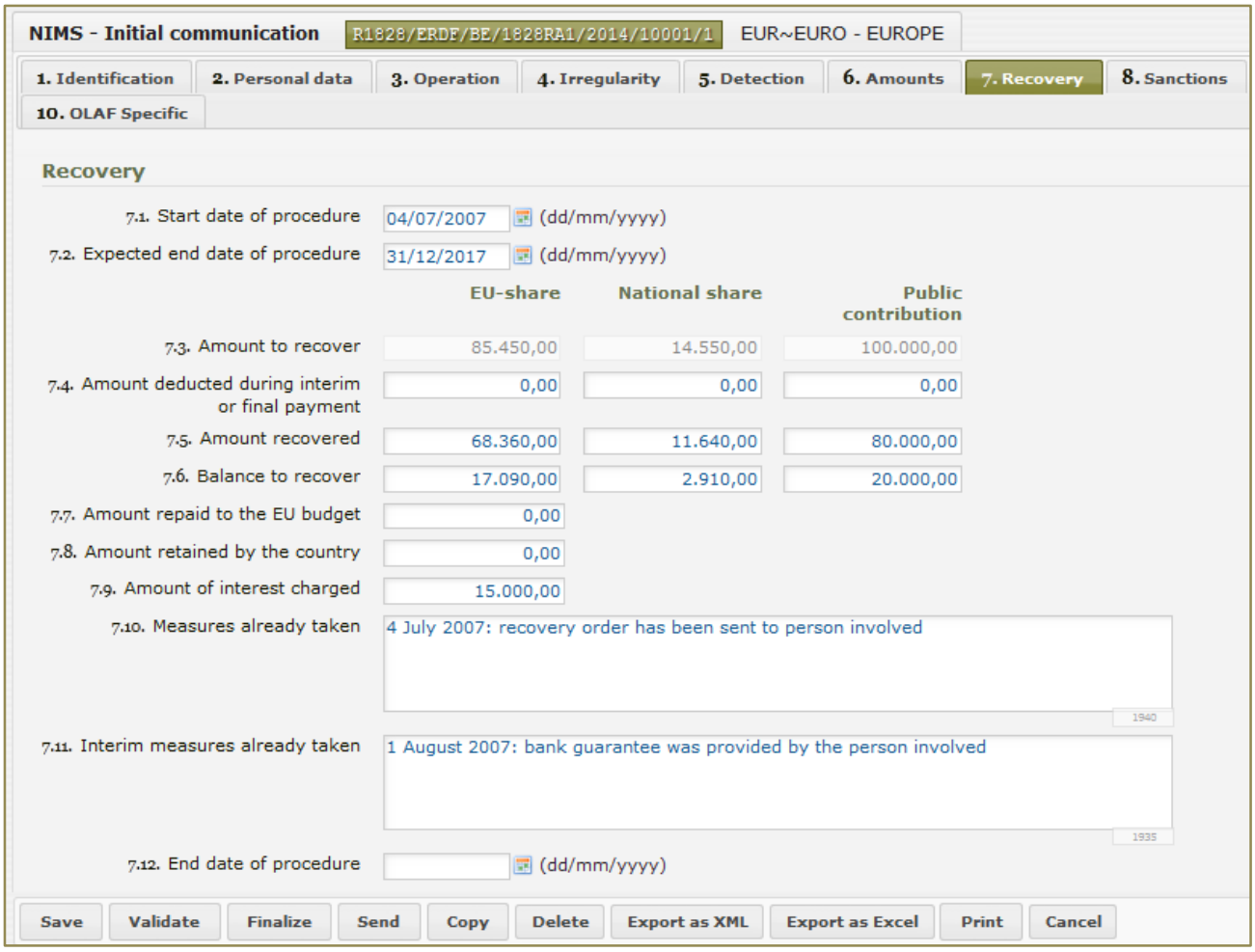
This field is only applicable for modules 498 and 1828.

You need to tick the tick box in case the irregular project has been excluded from EU support.

Be aware that the decision about the exclusion from expenditure certified to the EC can also happen once a country takes the entire risk of recovery on the national budget.

6.6. Comments

You need to provide an explanation about the decertification and its impact (see field 6.5.)


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
10. OLAF Specific
Recovery
7.1. Start date of procedure
04/07/2007
(dd/mm/yyyy)
7.2. Expected end date of procedure
31/12/2017
(dd/mm/yyyy)
EU-share
National share
Public contribution
7.3. Amount to recover
85.450,00
14.550,00
100.000,00
7.4. Amount deducted during interim or final payment
0,00
0,00
0,00
7.5. Amount recovered
68.360,00
11.640,00
80.000,00
7.6. Balance to recover
17.090,00
2.910,00
20.000,00
7.7. Amount repaid to the EU budget
0,00
7.8. Amount retained by the country
0,00
7.9. Amount of interest charged
15.000,00
7.10. Measures already taken
4 July 2007: recovery order has been sent to person involved
1940
7.11. Interim measures already taken
1 August 2007: bank guarantee was provided by the person involved
1935
7.12. End date of procedure
(dd/mm/yyyy)
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel

3.8 Tab page 7: Recovery

Section - Recovery

This section contains detailed information on the recovery. This tab page is used for all funds although for several funds count that there is no obligation to provide information on the recovery itself. The reason to use this page for all funds is a simple one: on request of countries which use IMS also for national purposes.

Be aware that the amounts should not include interests, fines and penalties. Interests can be indicated in field 7.8 as fines and penalties need to be indicated on tab page 8.

Example:
The amounts indicated are keyed in for illustration purposes (see image on left hand side page).

7.1. Start date of procedure
You need to indicate the date on which the recovery procedure started.

If the exact date is not known, you can indicate the first day of the month or year in which the procedure started.

7.2. Expected end date of procedure
You need to indicate the date by which the recovery procedure is expected to be completed.

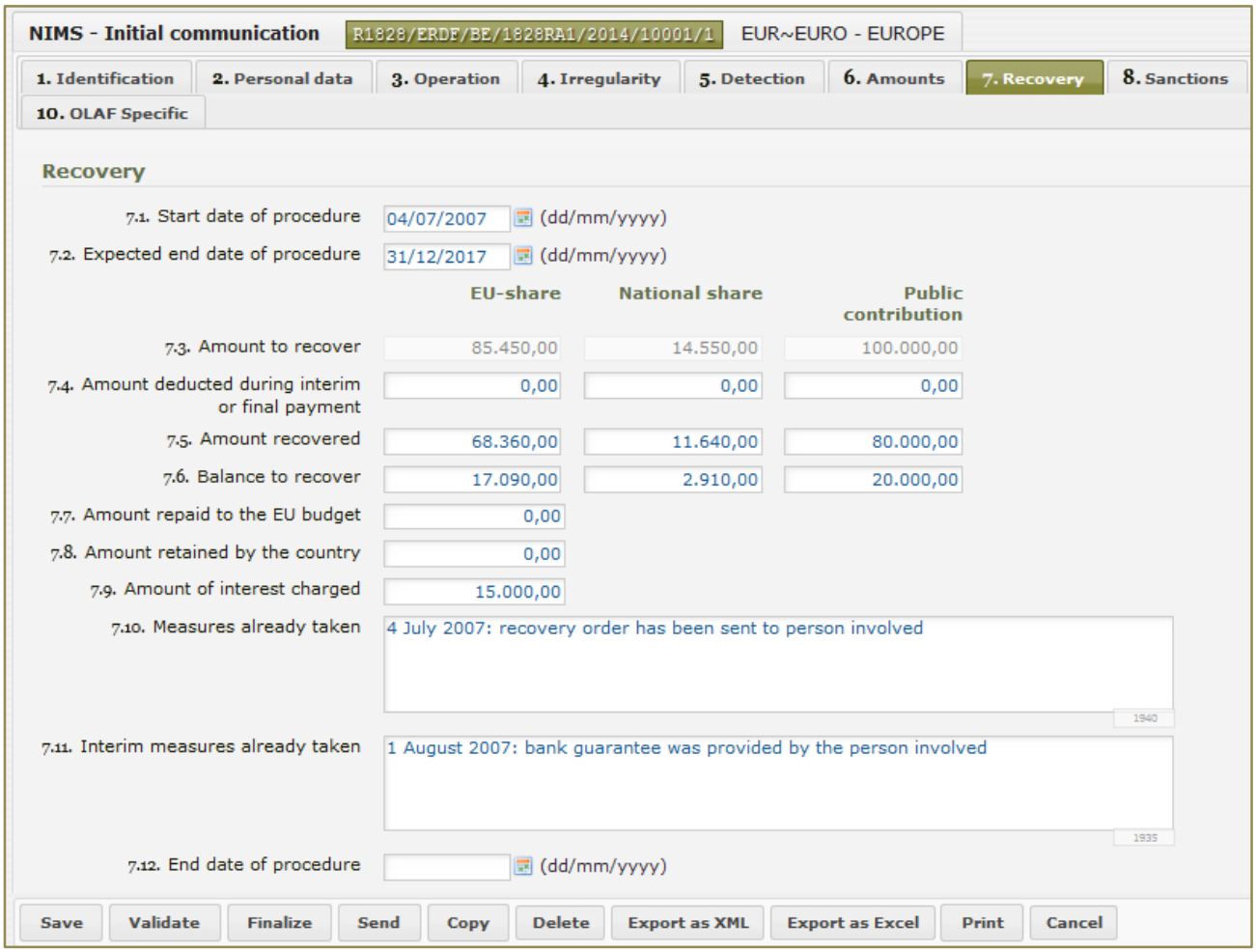
7.3. Amount to recover
IMS transfers automatically the values indicated in field 6.4. Amount to recover.

This field is not editable. In case you want to change the amounts indicated, you need to modify the data on tab page 6.

7.4. Amount deducted during interim or final payment
You need to indicate the amounts that have been compensated during interim or final payments, split up into EU-share and national-share.

7.5. Amount recovered
You need to indicate the amounts recovered, split up into EU-share and national-share.

7.6. Balance to recover
You need to indicate the amounts that still needs to be recovered (outstanding debt), split up into EU-share and national-share.


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
10. OLAF Specific
Recovery
7.1. Start date of procedure
04/07/2007
(dd/mm/yyyy)
7.2. Expected end date of procedure
31/12/2017
(dd/mm/yyyy)
EU-share
National share
Public contribution
7.3. Amount to recover
85.450,00
14.550,00
100.000,00
7.4. Amount deducted during interim or final payment
0,00
0,00
0,00
7.5. Amount recovered
68.360,00
11.640,00
80.000,00
7.6. Balance to recover
17.090,00
2.910,00
20.000,00
7.7. Amount repaid to the EU budget
0,00
7.8. Amount retained by the country
0,00
7.9. Amount of interest charged
15.000,00
7.10. Measures already taken
4 July 2007: recovery order has been sent to person involved
1940
7.11. Interim measures already taken
1 August 2007: bank guarantee was provided by the person involved
1935
7.12. End date of procedure
(dd/mm/yyyy)
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel

7.7. Amount repaid to the EU-budget
You need to indicate the amounts transferred back to the EU-budget.

7.8. Amount retained by the country
You need to indicate the amounts retained by your country. For some funds counts that a country can retain a percentage of the recovered amounts in case certain conditions are fulfilled.

7.9. Amount of interest charged
You need to indicate the interests charged.

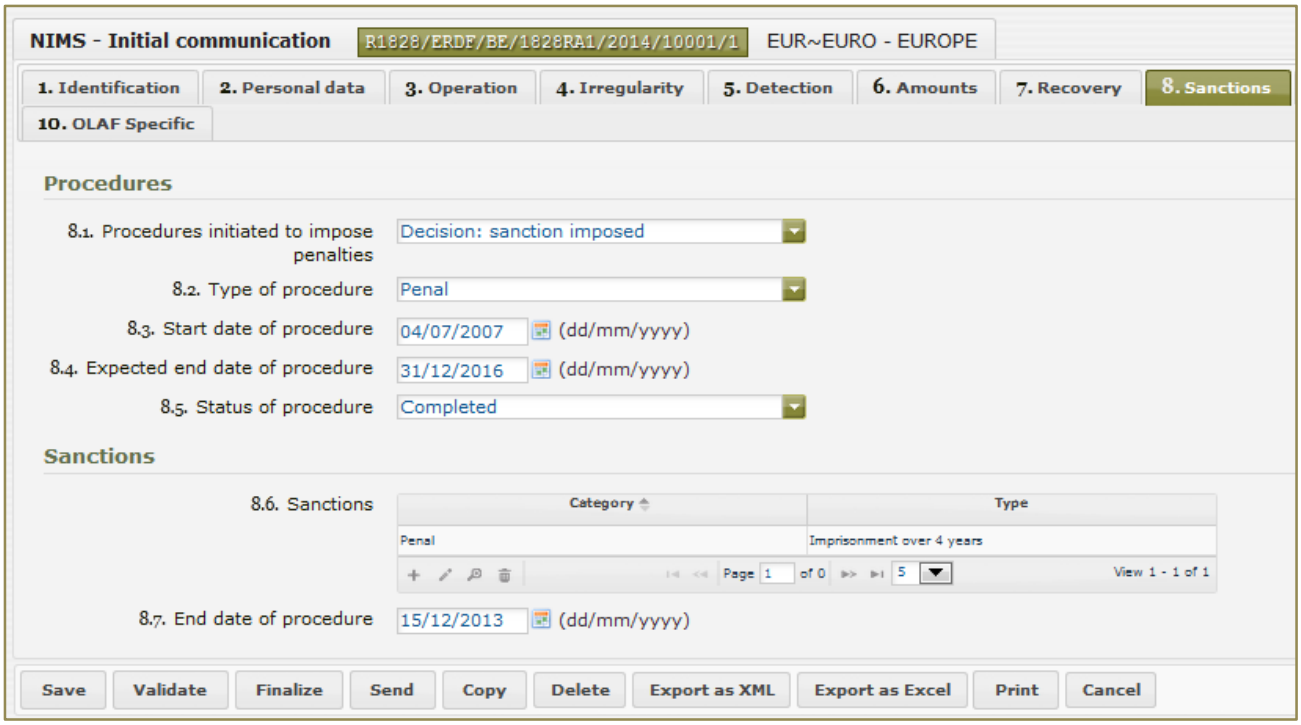
7.10. Recovery procedures already launched
You need to indicate the procedures already launched in order to recover the unduly paid amounts.

Example:
Information on the data on which the recovery order was sent to the person involved was provided.

7.11. Recovery measures already taken
You need to indicate the measures taken to recover the unduly paid amounts such as for instance a bank guarantee.

Example:
Information on a bank guarantee was provided.

7.12. End date of procedure
You need to indicate the date on which the recovery procedures were completed.


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
10. OLAF Specific
Procedures
8.1. Procedures initiated to impose penalties
Decision: sanction imposed
8.2. Type of procedure
Penal
8.3. Start date of procedure
04/07/2007
(dd/mm/yyyy)
8.4. Expected end date of procedure
31/12/2016
(dd/mm/yyyy)
8.5. Status of procedure
Completed
Sanctions
8.6. Sanctions
Category
Type
Penal
Imprisonment over 4 years
Page 1 of 0
View 1 - 1 of 1
8.7. End date of procedure
15/12/2013
(dd/mm/yyyy)
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel

3.9 Tab page 8: Sanctions

Section - Procedures

This section contains information on the procedures initiated to impose penalties.

8.1. Procedures initiated to impose penalties

You need to indicate if procedures have been initiated to impose penalties by selecting one of values of the drop-down-list. The available options are:

SP1 no decision yet
SP2 decision: no sanction
SP3 decision: sanction will be imposed but awaiting type of sanction(s)
SP4 decision: sanction imposed

This field should always be used!

8.2. Type of procedure

You need to indicate the type of procedure that has been initiated. The drop-down-list offers the following options:

ADM administrative
PEN penal
PXX administrative as well as penal

8.3. Start date of procedure

You need to indicate the date when the procedure was initiated.

8.4. Expected end date of procedure

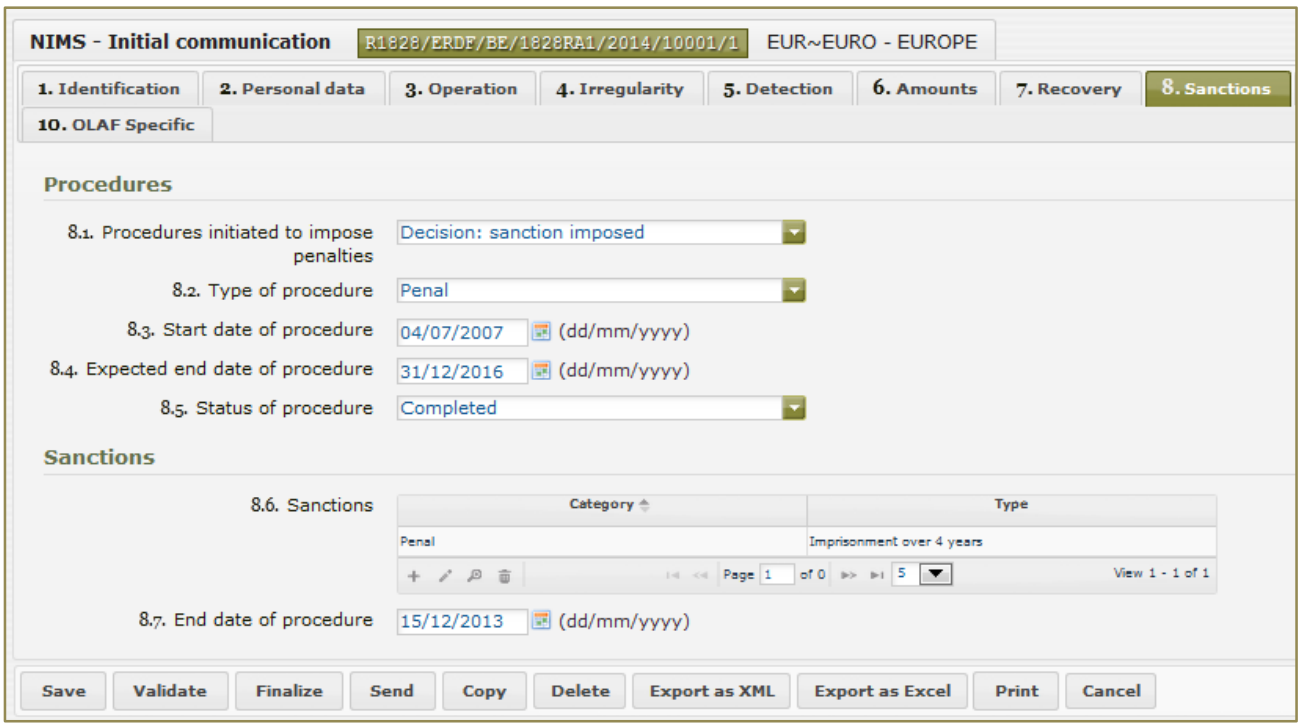
You need to indicate the expected end date of the procedure.

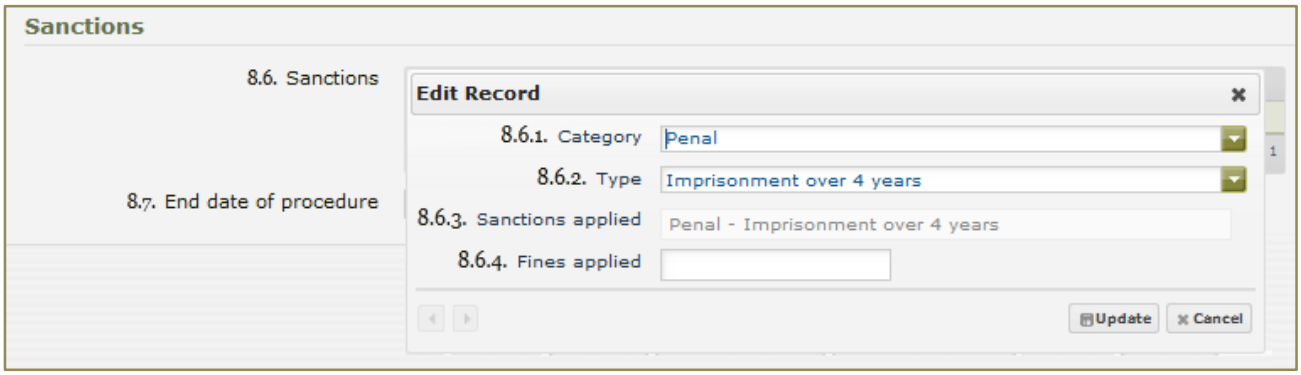
Be aware that the expected end date should be equal to or after the start date of the procedure

8.5. Status of procedure

You need to indicate the status of the procedure by choosing one of the following options:

INIT Initiated
COMP Completed
ABAN Abandoned


NIMS - Initial communication
R1828/ERDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
10. OLAF Specific
Procedures
8.1. Procedures initiated to impose penalties
Decision: sanction imposed
8.2. Type of procedure
Penal
8.3. Start date of procedure
04/07/2007
(dd/mm/yyyy)
8.4. Expected end date of procedure
31/12/2016
(dd/mm/yyyy)
8.5. Status of procedure
Completed
Sanctions
8.6. Sanctions
Category
Type
Penal
Imprisonment over 4 years
Page 1 of 0
View 1 - 1 of 1
8.7. End date of procedure
15/12/2013
(dd/mm/yyyy)
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel


Sanctions
8.6. Sanctions
8.7. End date of procedure
Edit Record
8.6.1. Category
Penal
8.6.2. Type
Imprisonment over 4 years
8.6.3. Sanctions applied
Penal - Imprisonment over 4 years
8.6.4. Fines applied
Update
Cancel

Section - Sanctions

This section contains detailed information on the sanctions imposed.

The section contains a multi-value-group which means that more than one value can be processed. In other words, more than one sanction can be indicated.

A multi-value-group has some additional buttons which need to be used to save, edit or delete data. You will find on top of the multi-value-group the following buttons:

– **Add** : to key in new information
– **Edit** : to edit information already saved
– **View** : to view information already saved
– **Delete** : to delete information already saved

As soon as you have added information in the multi-value-group you need to click the button **Add** in order to save the information. You will find this button together with the button **Cancel** at the bottom of the multi-value group. Not clicking on one of these buttons means that you cannot proceed with your work.

8.6. Sanctions

You need to click on button to open the section and to key in information on the sanction imposed.

8.6.1. Category

You need to select from the drop-down-list one of the two following categories:
S1 administrative
S5 penal
after which you have to select the type of sanction in the next field.

Be aware that it concerns a multi-value-group which implies that you can indicate more than one category and type.

8.6.2. Type

You need to select from the drop-down-list one of the values. These values depend on the selected values in the previous field.

After you have selected the type of sanction you click the button **Add** in order to save the information.

In case you want to add more sanctions, you repeat the above described process

8.6.3. Sanctions applied

IMS generates automatically, as result of the values entered in fields 8.6.1 Category and 8.6.2 Type, the full description of the sanction applied.

8.6.4. Fines applied

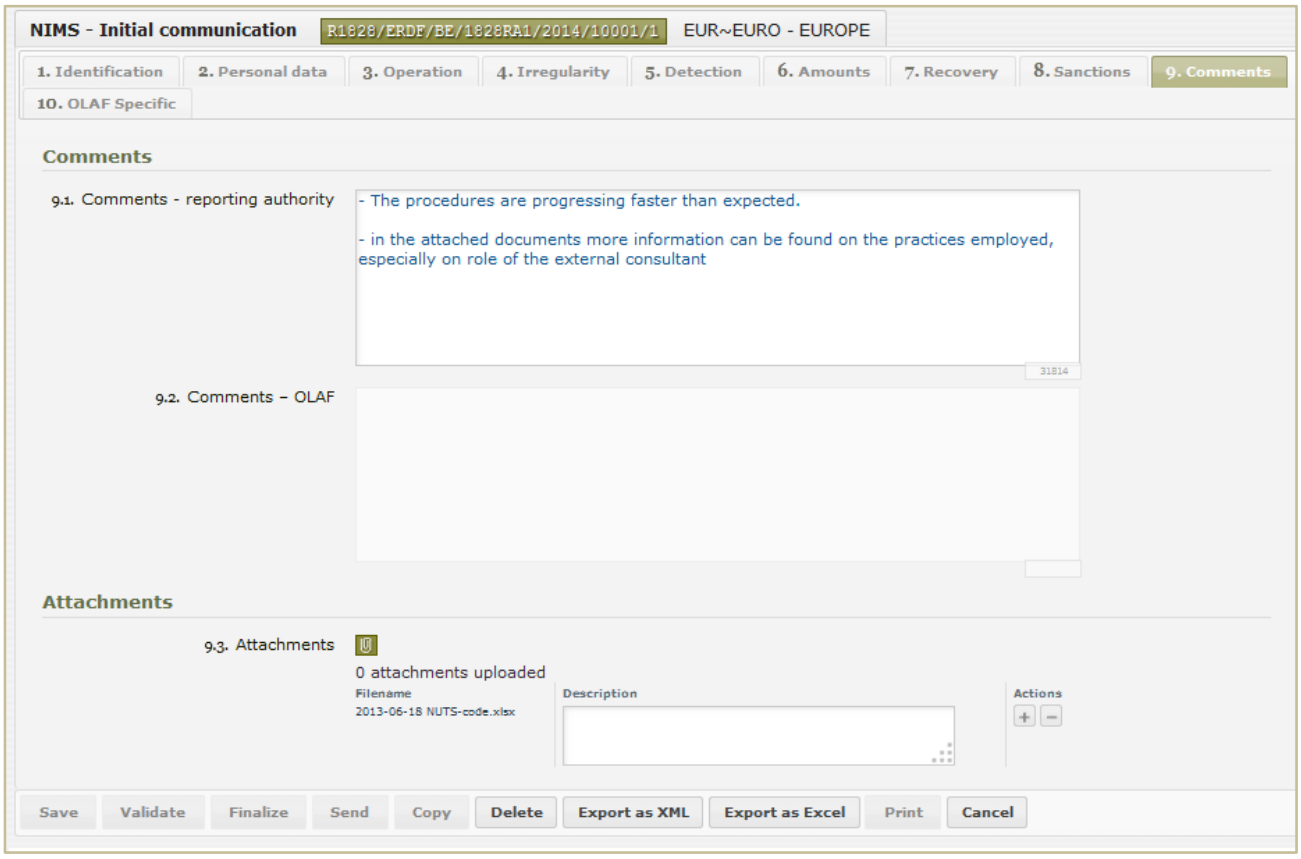
You need to indicate the amount(s) of the fines imposed.

Be aware that you indicated the currency already on tab page 1. You will find it on top of the page.

8.7. End date of procedure

You should indicate the end date of the procedure(s).

Be aware that the end date should be equal to or after the start date of the procedure.


NIMS - Initial communication
R1828/FRDF/BE/1828RA1/2014/10001/1
EUR~EURO - EUROPE
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
Comments
9.1. Comments - reporting authority
- The procedures are progressing faster than expected.
- in the attached documents more information can be found on the practices employed, especially on role of the external consultant
9.2. Comments – OLAF
Attachments
9.3. Attachments
0 attachments uploaded
Filename
Description
Actions
2013-06-18 NUTS-code.xlsx
Save
Validate
Finalize
Send
Copy
Delete
Export as XML
Export as Excel
Print
Cancel

3.10 Tab page 9: Comments

Section - Comments

This section contains information of the reporting country or OLAF which could not be processed in one of the previous tab pages.

9.1. Comments - reporting authority

You can add additional information concerning the case. You could for instance use this field to describe why you attached attachments to this communication.

9.2. Comments – OLAF

OLAF can provide some comments or feedback on the communication via this field. As an example can be mentioned the amending of the communication. In case OLAF amends a communication, the reason why an amendment was made is described in this field.

Section - Attachments

This section contains attachments that have been uploaded by the creator of the communication.

9.3. Attachments

You can attach additional documents or files by clicking on browse.

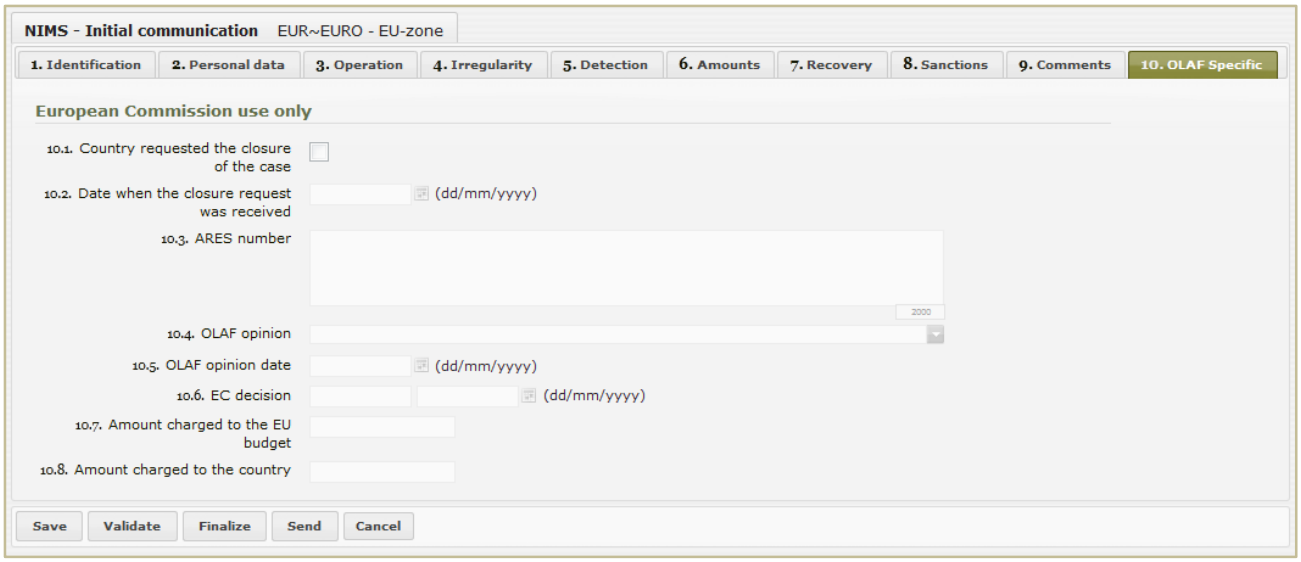
After you have clicked on , you can browse on your computer or network to select a document, file, image or whatsoever and attach it to the communication. It works in the same way as adding an attachment to an email. You will also be put in the position to describe in 250 characters the attachment. Click on the button + and the file will be attached.

Once a file is attached you can view or remove it as long as the communication is still a draft. You remove an attachment by selecting it and clicking on the button .

The format of the attachment is not relevant. The maximum number of files to be attached is 10, with a maximum of 5 MB per file. The title of the file should not have more than 50 characters.

Modules 1681, 1831 and PAA

Be aware that field 9.3. becomes mandatory in case you declare a case irrecoverable via the tick box of field 1.11. You need to attach the so called art. 5(2) request as an attachment.


NIMS - Initial communication
EUR~EURO - EU-zone
1. Identification
2. Personal data
3. Operation
4. Irregularity
5. Detection
6. Amounts
7. Recovery
8. Sanctions
9. Comments
10. OLAF Specific
European Commission use only
10.1. Country requested the closure of the case
10.2. Date when the closure request was received
(dd/mm/yyyy)
10.3. ARES number
2000
10.4. OLAF opinion
10.5. OLAF opinion date
(dd/mm/yyyy)
10.6. EC decision
(dd/mm/yyyy)
10.7. Amount charged to the EU budget
10.8. Amount charged to the country
Save
Validate
Finalize
Send
Cancel

3.11 Tab page 10: OLAF

IMS is developed for information and risk analyses purposes. Nevertheless, IMS is also used as accounting system for some funds concerning programming periods prior to 2007. This tab page supports this function and enables Commission staff to monitor the “case closure process”.
Only OLAF-staff can have has manager, creator and/or observer rights. All other users have observer rights. However the idea is that only Commission staff will have access to tab page 10. Current software does not allow to make such a distinction but the software to be used for IMS 5.0 does foresee this feature. IMS 5.0 is foreseen for 2015.

European Commission use only

This section can only be created and modified by OLAF-staff.

10.1. Country requested the closure of the case
OLAF-staff need to tick this tick box if a country requested the closure of an 1681, 1831 or PAA-case. A country can request such a closure by:

- ticking the tick box of field 1.11. Case irrecoverable
- submitting a request for a so called art. 5(2) procedure

A request for an art. 5(2) procedure can be done via an attachment to the communication in which the tick box of field 1.11. Case irrecoverable (section Special communication) is ticked. The request can also be send via normal mail. If such a request is missing, the closure procedure cannot be started. The concerned country should be informed.

10.2. Date on which closure request was received
Depending on the means that is used to send the request, the date is

- IMS: registration date of the communication to which the request was attached;
- Email: reception date
- Mail: postmark

The registration date is automatically generated by IMS and indicates the date on which the communication was sent to OLAF.

10.3. ARES number
The ARES number of the art. 5(2) request should be indicated, in case the request was not sent via IMS.

10.4. OLAF opinion
OLAF-staff need to select from the drop-down-list one of the pre-defined OLAF-opinions.

10.5. OLAF opinion date
OLAF-staff need to indicate the formal date of the OLAF opinion.

10.6. EC decision
OLAF-staff need to indicate the EC-decision. This field consists out of 2 parts:

- Number of the Commission Decision in which a decision was taken on the art. 5(2) request
- Date of this Commission Decision

10.7. Amount charged to EU-budget
OLAF-staff need to indicate the amount charged to the EU-budget as decided in the Commission Decision. The currency is the one selected on tab page 1 Identification.

10.8. Amount charged to the country
OLAF-staff need to indicate the amount charged to the country as decided in the Commission Decision. The currency is the one selected on the Identification page.

4. Validate and Finalize a Communication

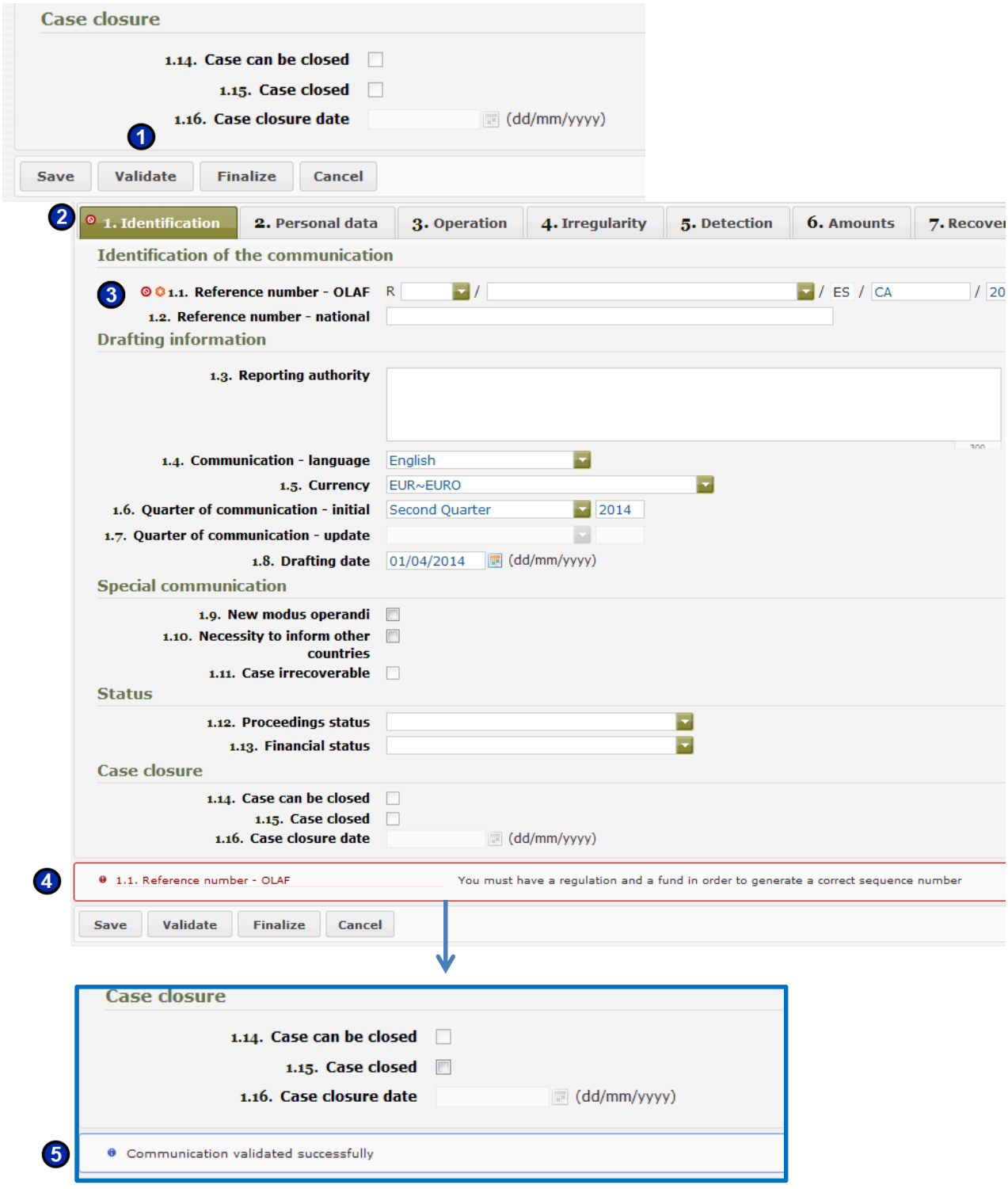
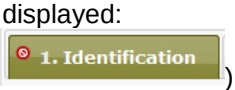


Figure 3: Validate and finalize

After you have saved the communication, you must finalize it. When you finalize a communication the manager can submit it. For more information on the lifecycle of a communication and the required actions on the part of the creator, the manager and OLAF.
You can only finalize a communication when it is valid, i.e. no mandatory fields should be left blank and all entered information must follow the business rules.
To validate a communication:

At the bottom of the communication page, Click the validate button (1). The communication will be validated. If you want to validate a communication and directly send it if it is valid, click the **Finalize** button and the communication will automatically be checked before it is finalized.
If there are any errors in the communication, the following icons and warnings are displayed:

2 When there are errors on one of the pages, a red icon is displayed in the tab (

)

3 When mandatory fields are left empty, an orang icon is displayed next to the field ( ).
When the information entered in a mandatory field is incorrect according to the business rules, a red icon is displayed next to the field ( ).

4 At the bottom of the page the field that is invalid and the nature of the error are displayed. When you click on the error field, you are automatically directed to the field that the error refers to.

5 When the communication is valid and ready to be finalized, this message is displayed. Click the **Finalize** button to finalize the communication.

5. Drafts

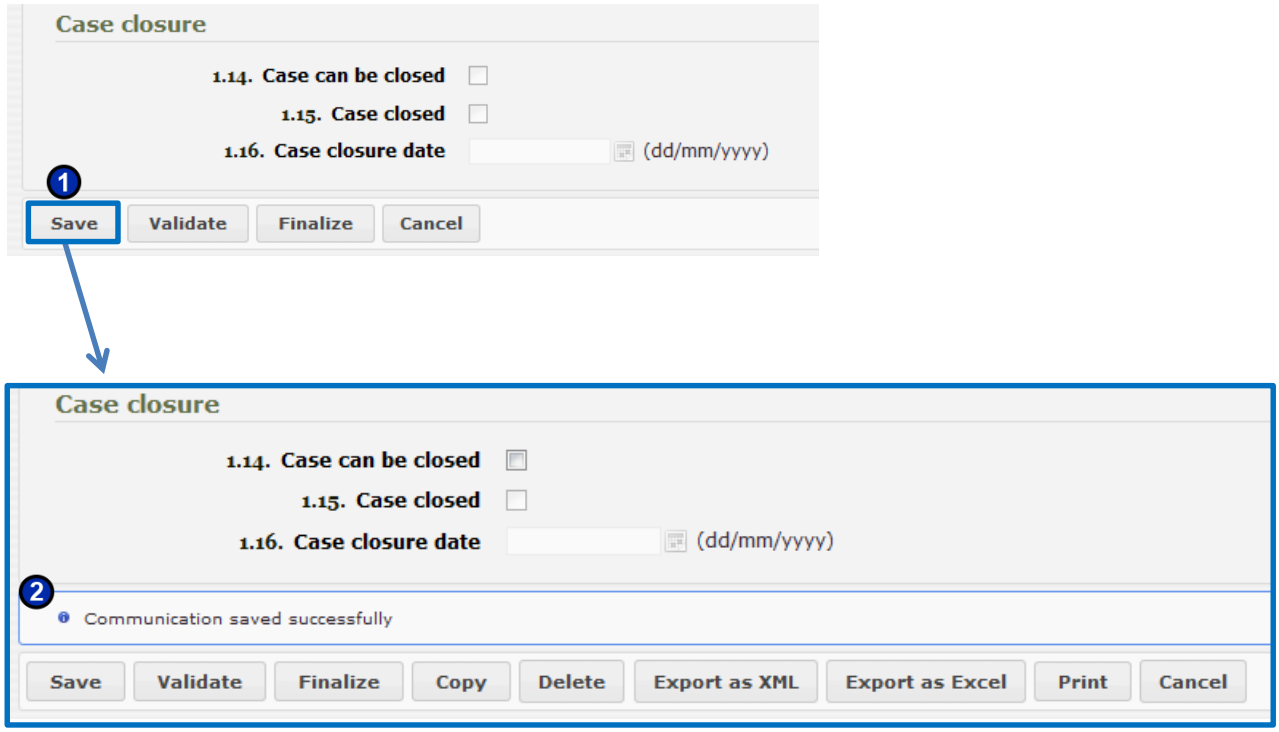


Figure 4: Save a communication as a draft

5.1 Save a Communication as a Draft

You can save a communication as a draft. You can then edit and finalize the communication later on.
To save your communication as a draft, click the **Save** button at the bottom of the create communication page (1). A message is displayed to confirm that the communication is saved as a draft (2).

A communication does not have to be valid in order to be saved as a draft. For more information about validating communications, see chapter 4 Validate and Finalize a Communication).

Drafts are deleted by the system after a predefined period.

3 After you saved the draft additional buttons are displayed:
Save: Save changes to the draft.
Validate: Validate the validity of the draft. See
Finalize: Finalize the draft. See chapter 4 Validate and Finalize a Communication.
Copy: Copy the draft. You can use the copy as a template for a new communication. See chapter 12 Copy a Communication.
Delete: Delete the draft. See chapter **Error! Reference source not found. Error! Reference source not und.**.
Export as XML: Export the communication as an XML file. For more information, see chapter
Export as Excel: Export the communication as an Excel file. For more information, see chapter 14.2 Export Communications as an Excel Sheet
Print: The print version of the communication is opened and the print dialog box is displayed. For more information see chapter 13 Print a communication.
Send: if you have manager rights, the **Send** button is displayed. Click this button to submit an communication. For more information about sending a communication, see chapter 18.1 (Re)Submit a Communication.

5.2 Edit a Draft

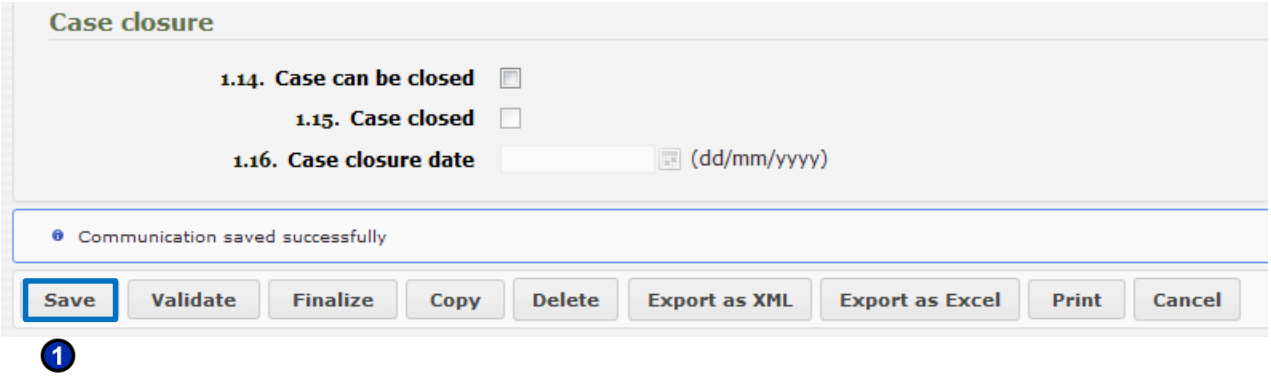


Figure 5: Edit a draft

You can edit your drafts any time, as long as you don't finalise it.

To edit a draft:

5.3 Open the draft, from the list page (see chapter 10.2 Options Available While Listing Communications) or in the search results (see 15.2 Error reporting

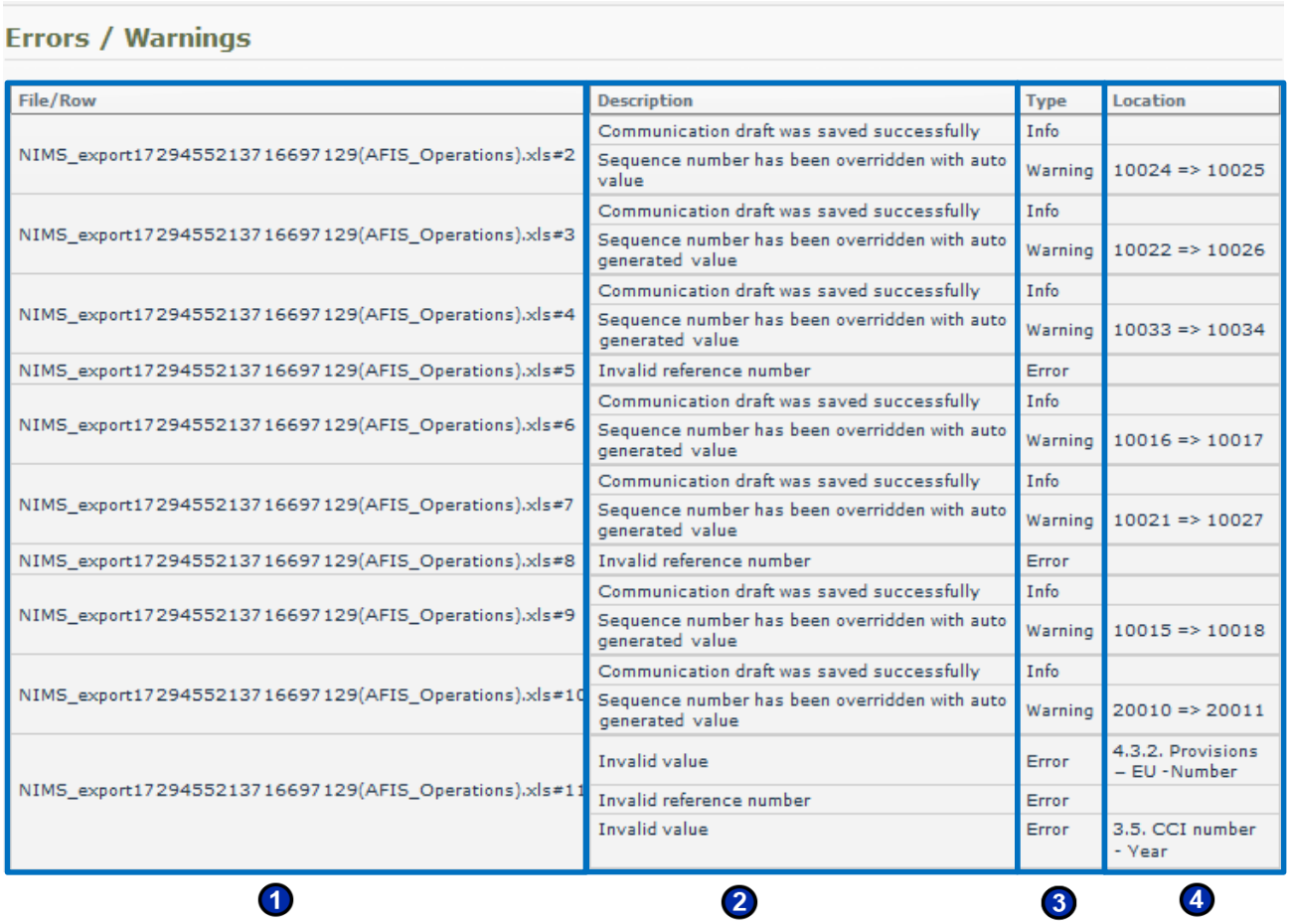


Figure 25: Errors/Warnings

When you import communications, they are validated. You cannot import an invalid file. If the system finds errors in the file, you must first correct them before importing. Errors are displayed in the Errors/warnings table:

1. File/Row: the name of the file and the row that contains an error. For Excel, this is the row number. For Zip, this is the file number in the zip.
2. Description: a textual description of the problem
3. Type: Error or warning
4. Location: field that caused the problem (error or warning). The field always refer to the field used in the interface or the Excel template. For XML, the user has to check the corresponding XML tag.

You cannot import an invalid file. If the system finds errors in the file, you must first correct them before importing.

6. Search Communications

IMS search allows you to search for communications by specified criteria.

6.1 Search page

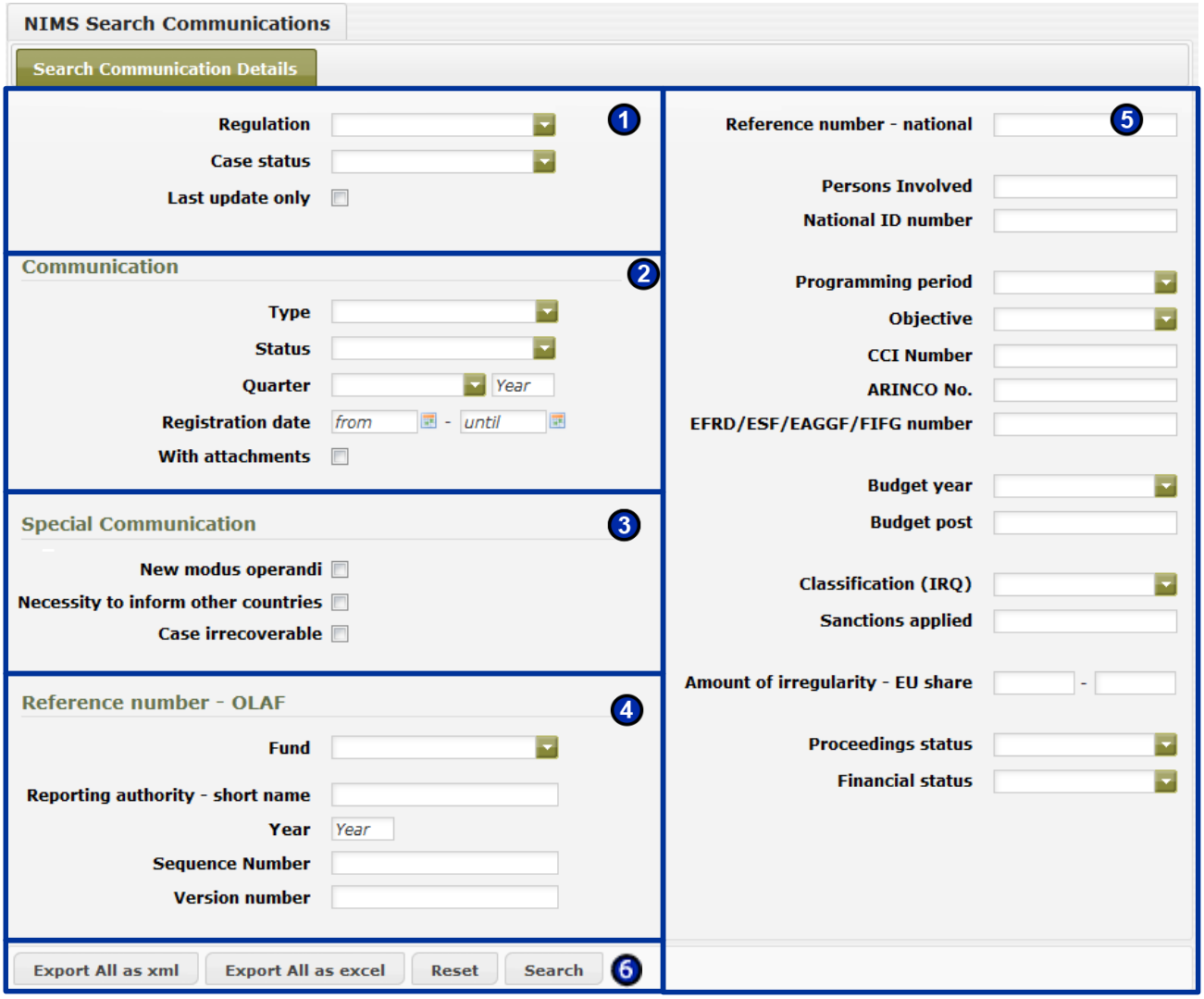


Figure 26: Search page

The search page contains several sections in which search criteria can be selected:

1. **General section**: search for general criteria such as the module via which the communication is reported, and case status.
2. **Communication**: search in a communication's metadata, i.e. the data that was automatically added by the system when you created the communication, such as the type and status. (quarter is not automatically added!)
3. **Special communication**: search if any of the options in the special communication section of the communication (fields 1.9 – 1.11) were selected.
4. **Reference number – OLAF**: search the separate sections that compose the OLAF reference numbers, such as the fund and the sequence year.
5. **Other search fields**: select other search criteria from these fields to search by.
6. **Buttons**: these buttons enable you to search, reset (clear a search of all entered criteria) and export search results to an Excel or an XML file.

6.2 Available Search Criteria

6.2.1 General and Communication Sections

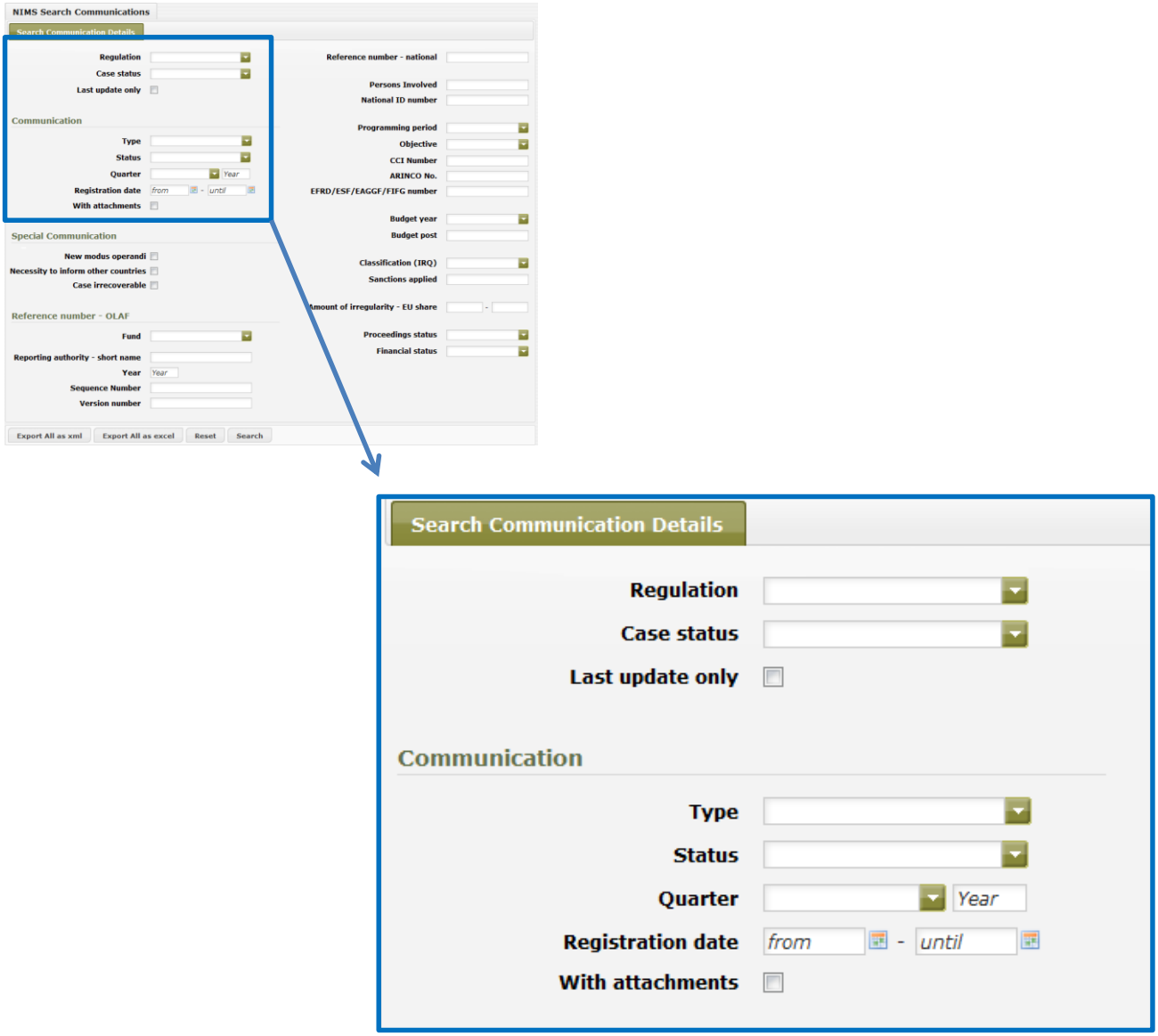


Figure 27: Available fields, General and Communication sections

The following search criteria are available:

Regulation: search by module. Select a module from the drop-down-list.
Case status: search by case status by selecting a status from the drop-down-list.
Last update only: tick the click box to search by the last communication of a case.
Type: search by type of communication.
Status: search by the status that the communication is in.
Quarter: search by the quarter during which the initial communication was created or updated.
Year: search by the year during which the initial communication was created or updated.
Registration date: search by the date when a communication was registered in the system.
With attachments:tick this checkbox to search only for communications that have attachments.

6.2.2 Special Communication and Reference Number OLAF Sections

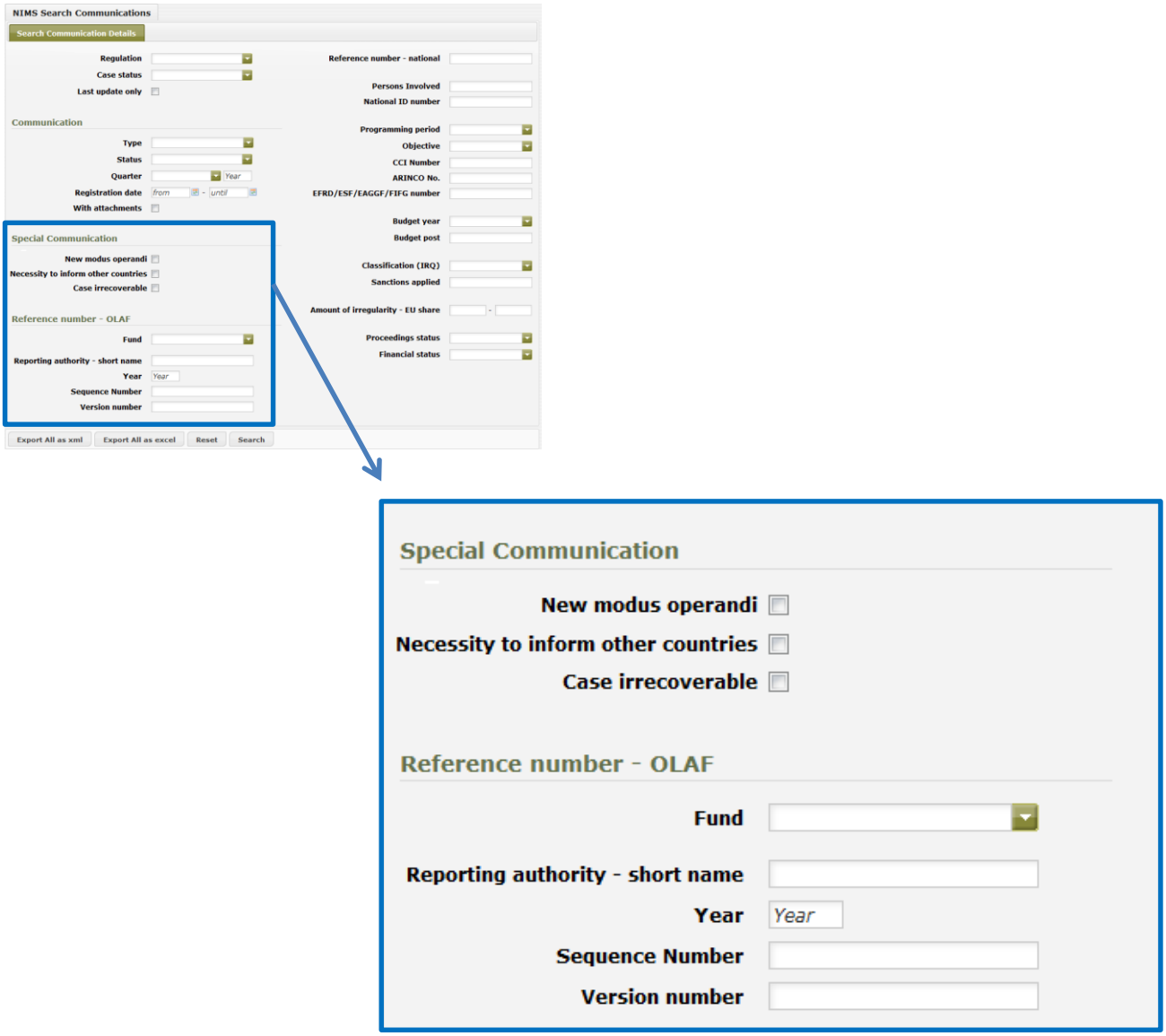


Figure 28: Available fields, Special Communication and Reference Number – OLAF sections

The following search criteria are available:

New modus operandi: tick this checkbox to display only those communications in the search results that have the option 'New Modus Operandi' enabled.
Necessity to inform other countries: tick this checkbox to display only those communications in the search results that have the option 'Necessity to inform other countries' enabled.
Case irrecoverable: tick this checkbox to display only those communications in the search results that have the option 'Case irrecoverable' enabled.
Fund: search by the fund that the communication is created under. The available values depend on the regulation selected.
Reporting authority - short name: search by the 'Reporting authority' field which is part of the OLAF Reference Number.
Year: search by the 'Year' field which is part of the OLAF Reference Number.
Sequence number: search by the 'Sequence number' field which is part of the OLAF Reference Number.
Version number: search by the 'Version' field which is part of the OLAF Reference Number.

For users with **commission observer rights**, the search might have an extra search field. If you are a national observer, you can only see those communications that are created in your organisation. However if you are a commission observer, you can see all communications. Because of this, users with commission observer rights have an extra option to **search communications by country**. The following extra field is available for commission observers:

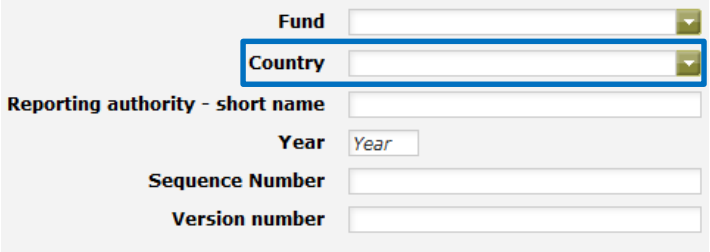


Figure 29: Search by Country fields for Commission observers only

6.2.3 Other search criteria

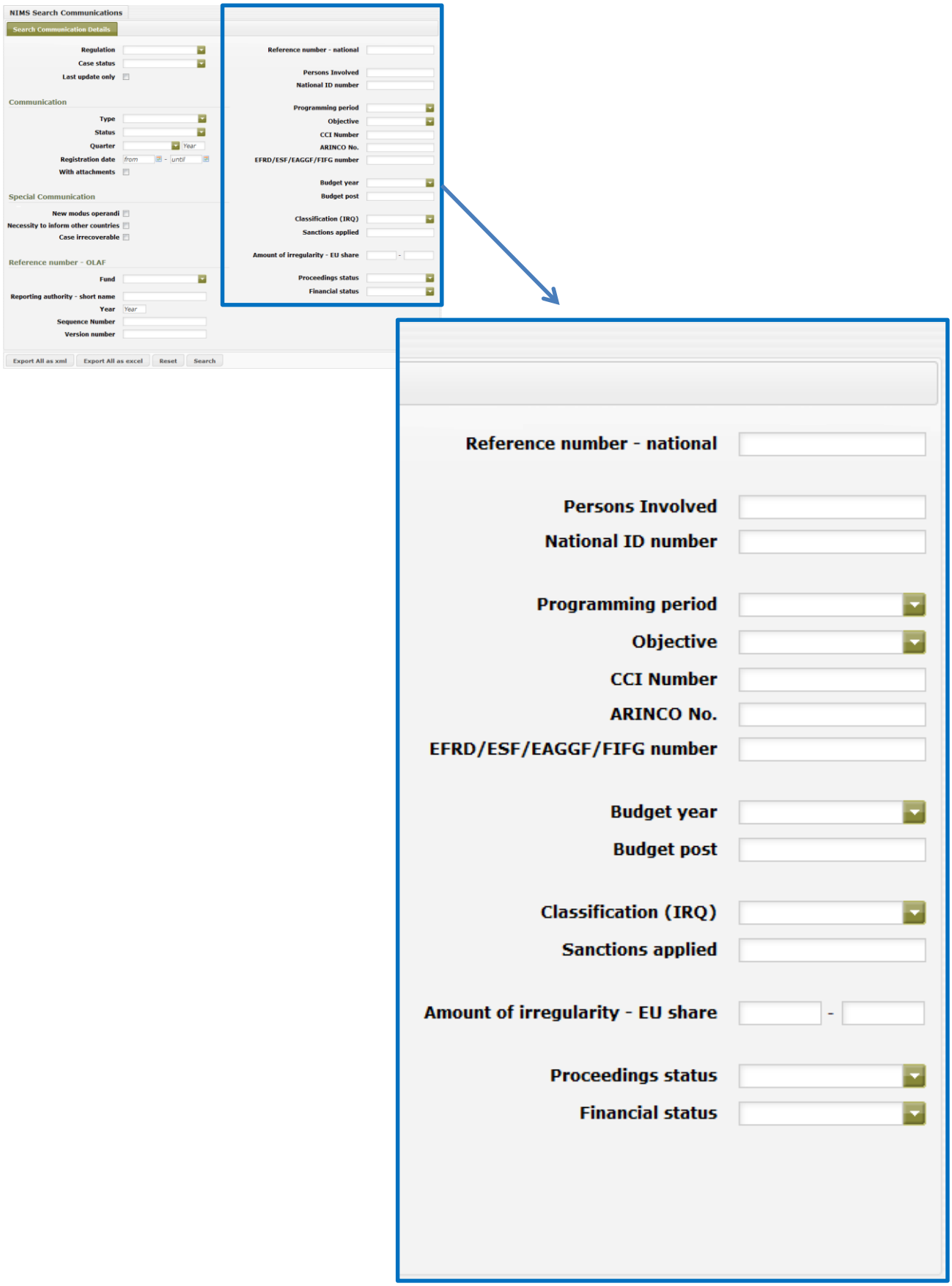


Figure 30: Available fields, other criteria

The following search criteria are available:

Reference number – national: search by the 'Reference number – national' field.
Persons involved: search by persons involved in the case. The following fields are searched:

- Company name / Family name
- Trade name / First name
- Parent name / Independent

National ID number: search by the national ID number.
Programming period: search by the programming period.
Objective: search by the 'Objective' field. The values in the list depend on the regulation and programming period selected.
CCI number: search by the 'CCI number' field.
ARINCO number: search by the 'ARINCO number' field.
EFRD/ESF/EAGGF/FIFG number: search by the 'EFRD/ESF/EAGGF/FIFG number' field.
Budget year: search by the 'Budget year' field.
Budget post: search by the field 'Budget post'.
Classification (IRQ): search by the 'Classification of the irregularity' field.
Sanctions applied: search by the 'Sanctions applied field'.
Amount of irregularity - EU-share: search by the 'Amount of irregularity - EU-share' field.
Proceedings status: search by the 'Proceedings status' field.
Financial status: search by the 'Financial status' field.

You can used the * wildcard. This wildcard enables you to search using only part of a word. For example:
*day => search results include: 'Monday', 'Tuesday' and 'day'.
day* => search results include: 'daybreak', daytime' and 'day'.

6.1 Run a search

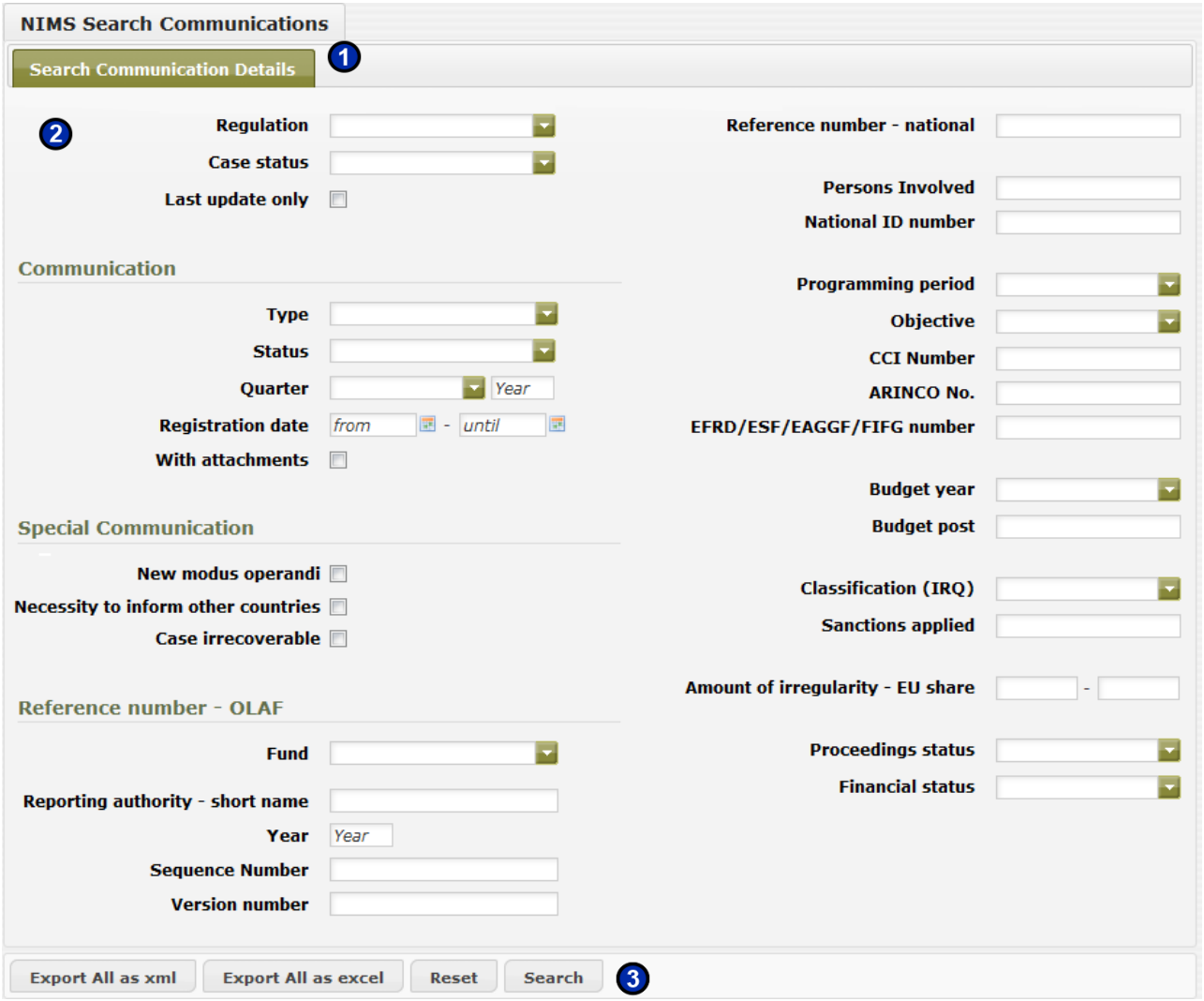


Figure 31: Run a search

To run a search:

1. Go to the search page.
2. Set the criteria that you want to search by.
3. Click the **Search** button.

6.2 Search Results

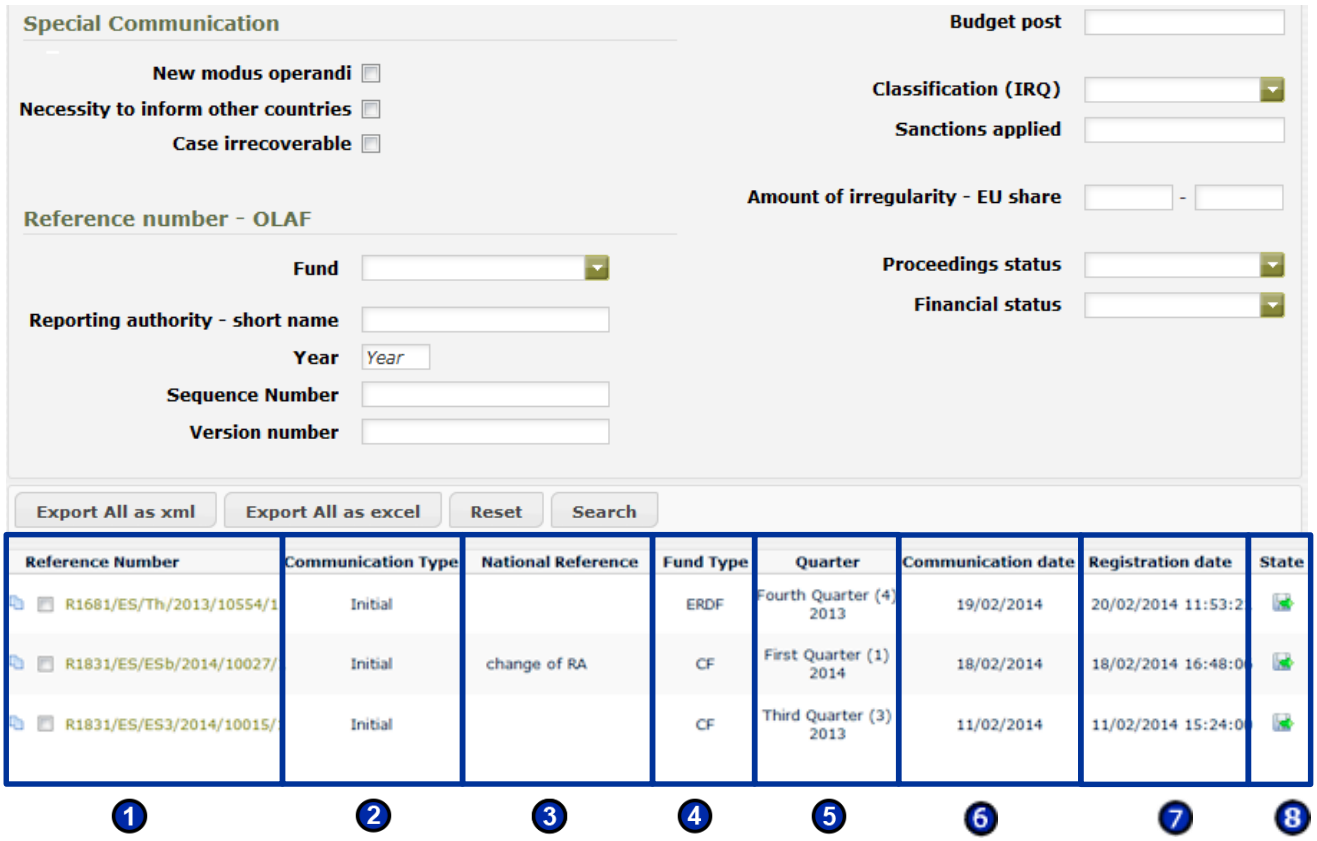


Figure 32: Search results

The search results are displayed. The following columns are available:

1. **Reference number - OLAF**: the reference number of the communication.
2. **Communication Type**: the communication can have on of the following communication types:
   - Initial communication
   - Update
   - Zero communications?!
3. Reference number - national: the national reference number of the communication.
4. **Fund Type**: the fund type that is selected for the communication.
5. **Quarter**: quarter in which the communication was created.
6. **Communication Date**: the date on which the communication was created as indicated by the creator.

Registration Date: the date when a communication was registered in the system.

7. **State**: the state that the communication is in.

for more information).

Edit the communication as necessary.

Click the Save button ( ).

6.3 Delete a Draft

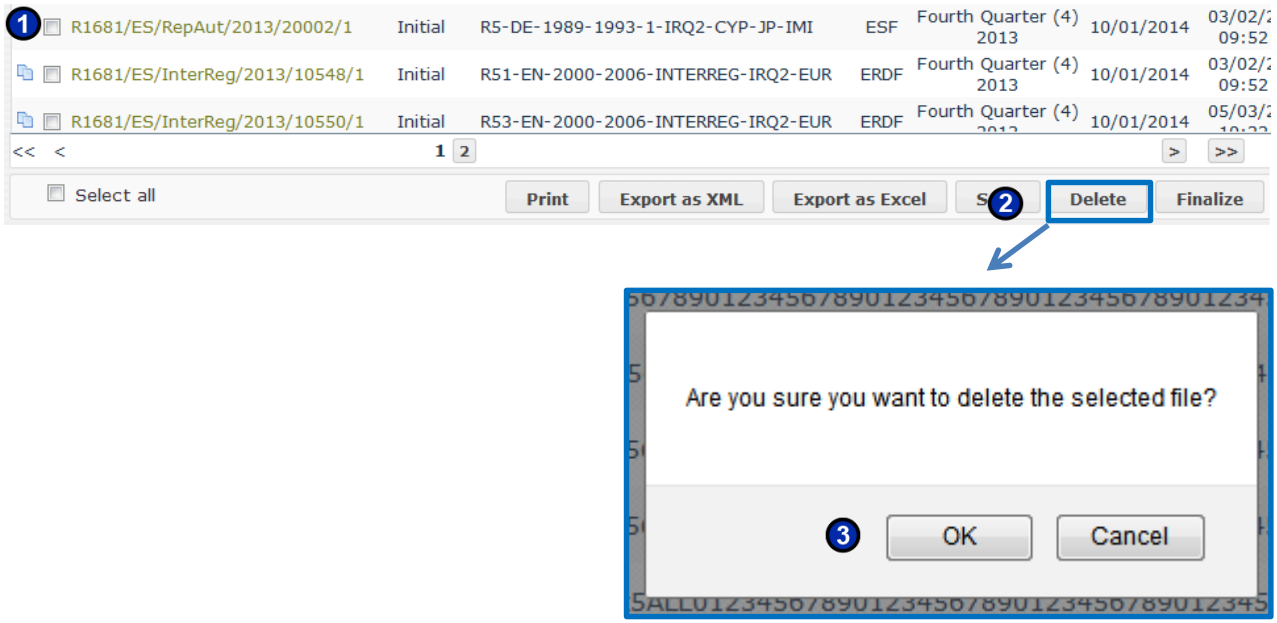

R1681/ES/RepAut/2013/20002/1 Initial R5-DE-1989-1993-1-IRQ2-CYP-JP-IMI ESF Fourth Quarter (4) 2013 10/01/2014
R1681/ES/InterReg/2013/10548/1 Initial R51-EN-2000-2006-INTERREG-IRQ2-EUR ERDF Fourth Quarter (4) 2013 10/01/2014
R1681/ES/InterReg/2013/10550/1 Initial R53-EN-2000-2006-INTERREG-IRQ2-EUR ERDF Fourth Quarter (4) 10/01/2014
Select all
Print
Export as XML
Export as Excel
Delete
Finalize
Are you sure you want to delete the selected file?
OK
Cancel

Figure 6: Delete a draft from list communications view

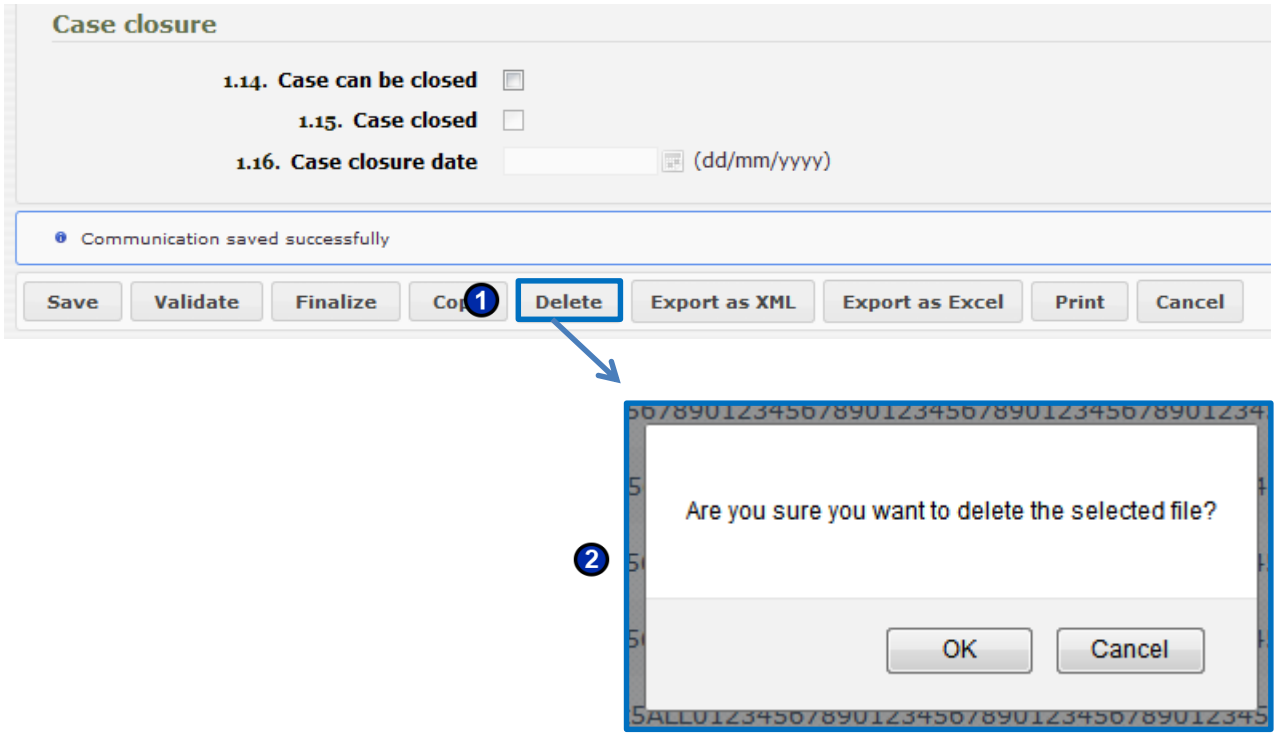


Figure 7: Delete a communication after opening it

You can only delete drafts.

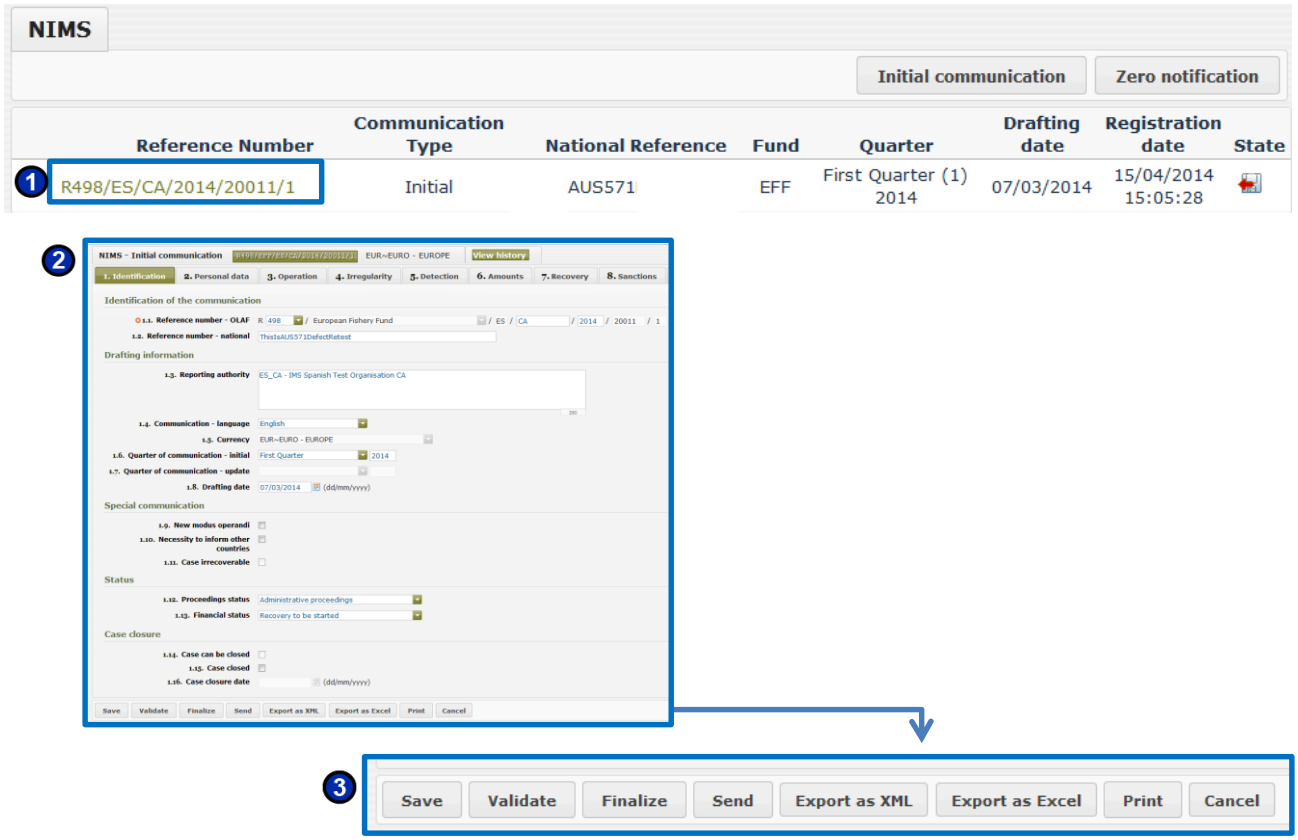
To delete a draft from the 'List communications' view:

1. Tick the checkbox to select the draft that you want to delete.
2. Click the **Delete** button.
3. A dialog box is display. Click **OK** to confirm that you want to delete the communication. The communication is deleted.

To delete a draft while viewing it:

1. In the opened draft, click the **Delete** button at the bottom of the page.
2. A dialog box is display. Click **OK** to confirm that you want to delete the communication. The communication is deleted.

7. Edit a Rejected Communication



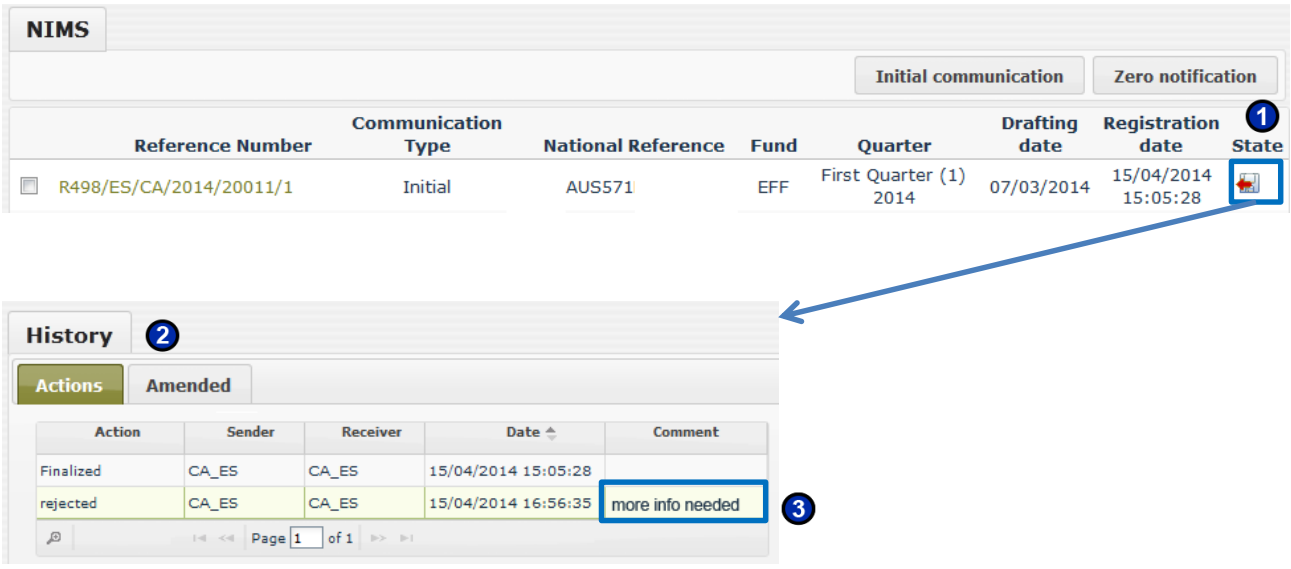


Figure 8: Edit a rejected communication

If a communication that you have created is rejected, you must edit it and finalize it.

To edit a rejected communication:

1. On the list communications page, click the communication reference number link to open it.
2. The communication is opened. Make the necessary changes.
3. Click the **Finalize** button to finalize the communication.

When a manager rejects a communication he/she must give a reason for rejection. To view the rejection reason:

1. Click the status icon next to the rejected communication on the far right of the line ( ).
2. The history of the communication is displayed.
3. A comment on why the communication is rejected is displayed in the comment section.

For more information on listing communications, see chapter 10 List communications.

8. Update a Communication

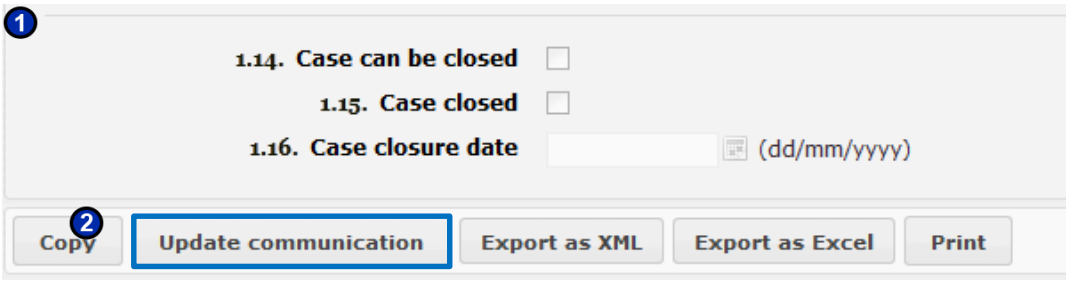


Figure 9: Update a communication

After a communication is sent to OLAF you can update it, i.e. inform OLAF that additional information is available.

You can only update the latest communication that was submitted to OLAF. Therefore, an update cannot be created as long as the previous communication has not been submitted to OLAF.
This latest communication can be either an **initial communication** or an **update of the communication** and can only have one of the following states:

- *Submitted to OLAF* ( )
- *Modified by OLAF* ( )

To update a communication:

1. Open it and add the information that you want to update.
2. Click the **Update** button.

If an Update communication is created from an Initial communication that has files attached, the attachments of the initial communication stay added. You can remove them or add new ones.

9. Cancel case

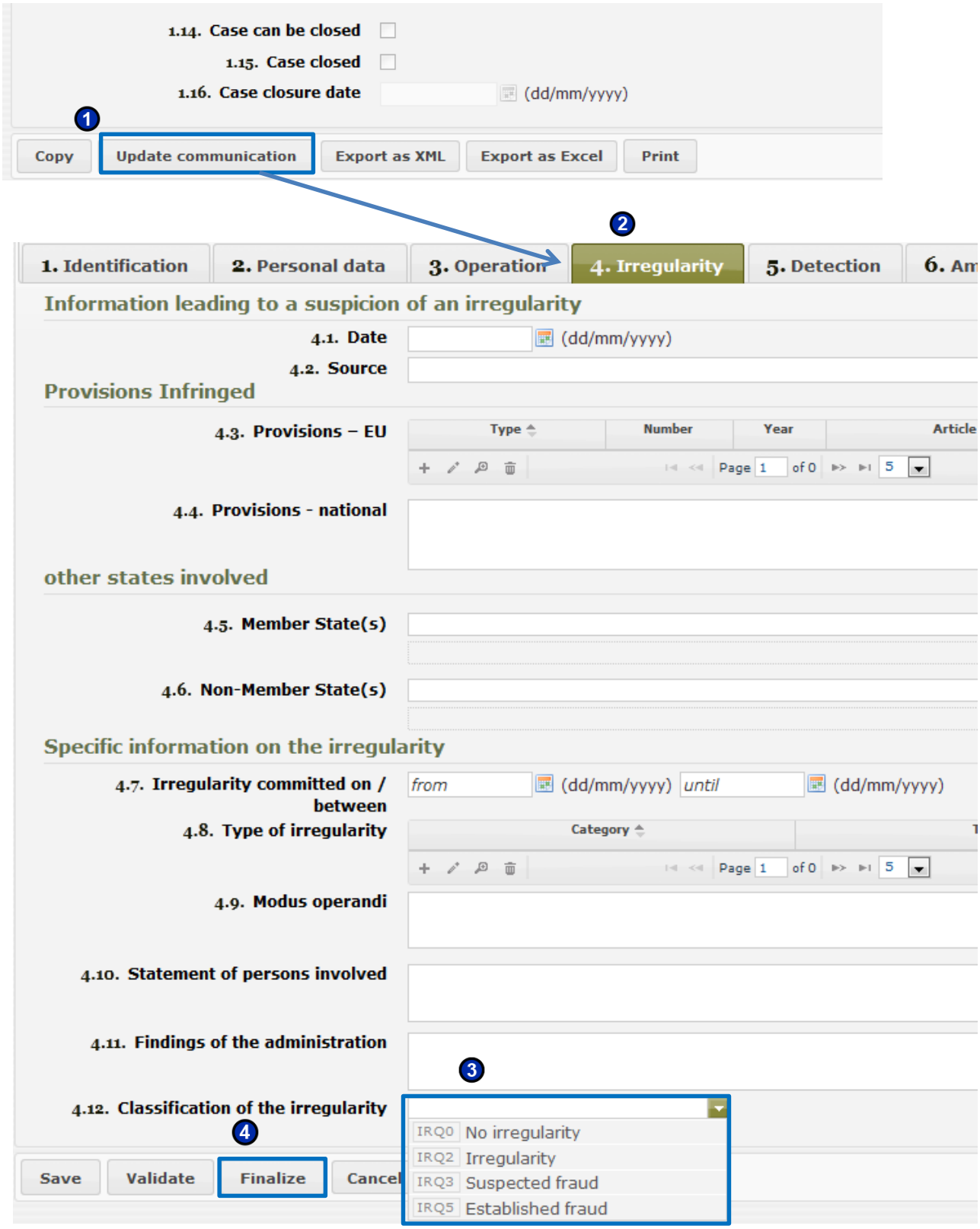


Figure 10: Cancel a case

You can cancel a case by sending an update communication with the 'IRQ0 No irregularities' qualification to OLAF.

On cancellation OLAF removes a set of information from every communication belonging to the case. The case is set then to 'Cancelled' status.

You can only cancel cases that have the 'Submitted to OLAF' ( ) or 'Modified by OLAF' ( ) status.

To cancel a case you must create an update communication:

1. Open the latest communication of the case that you want to cancel.
2. Click Update communication at the bottom of the page.
3. Under the irregularities tab, in the 4.12 Classification of irregularity fields, select 'IRQ0 No irregularity'.
4. Click **Finalize**, or if you have manager rights, click **Send**.

10. List communications

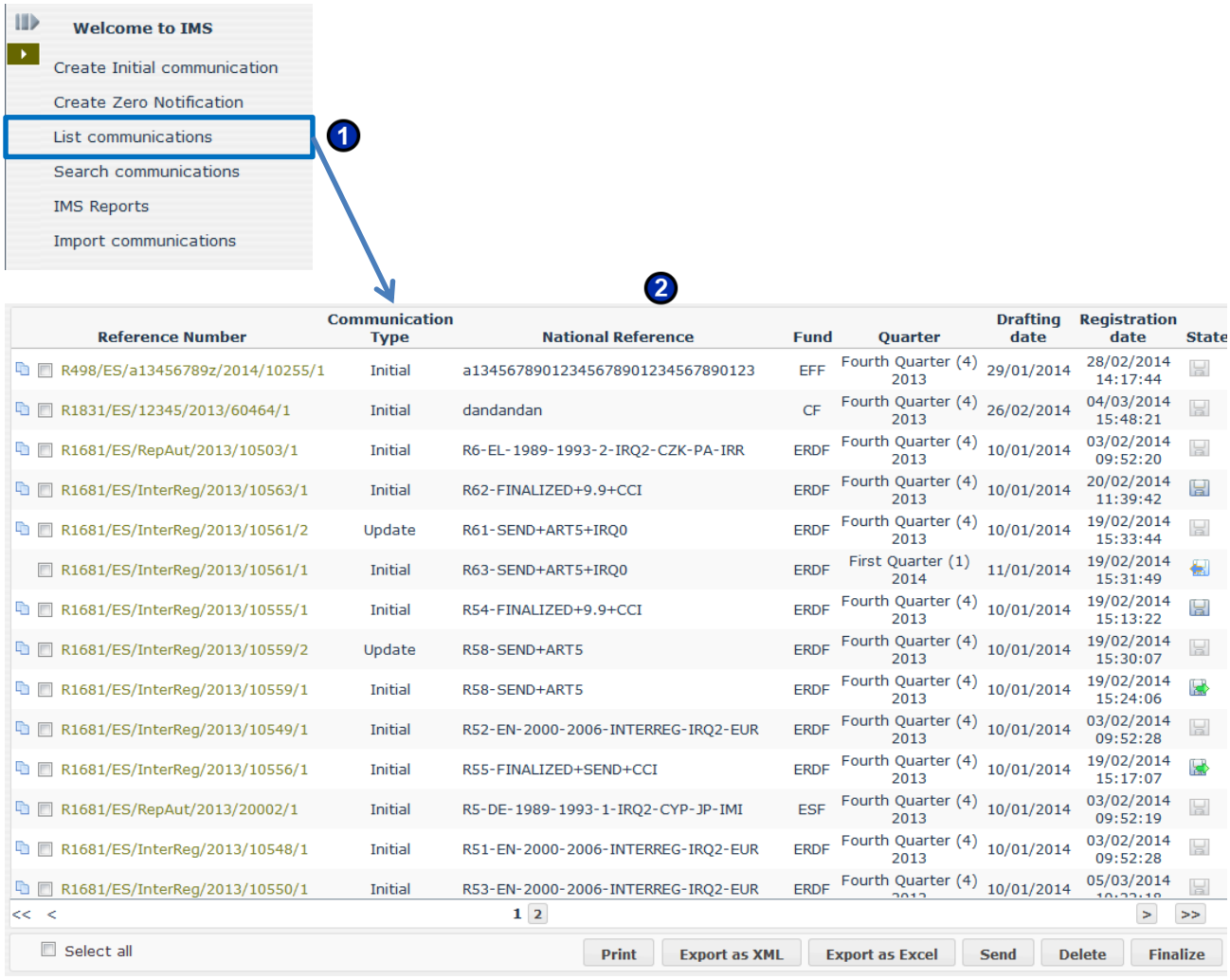

Welcome to IMS
Create Initial communication
Create Zero Notification
List communications
Search communications
IMS Reports
Import communications
1
2
Reference Number
Communication Type
National Reference
Fund
Quarter
Drafting date
Registration date
State
R498/ES/a13456789z/2014/10255/1 Initial a13456789012345678901234567890123 EFF Fourth Quarter (4) 2013 29/01/2014 28/02/2014 14:17:44
R1831/ES/12345/2013/60464/1 Initial dandandan CF Fourth Quarter (4) 2013 26/02/2014 04/03/2014 15:48:21
R1681/ES/RepAut/2013/10503/1 Initial R6-EL-1989-1993-2-IRQ2-CZK-PA-IRR ERDF Fourth Quarter (4) 2013 10/01/2014 03/02/2014 09:52:20
R1681/ES/InterReg/2013/10563/1 Initial R62-FINALIZED+9.9+CCI ERDF Fourth Quarter (4) 2013 10/01/2014 20/02/2014 11:39:42
R1681/ES/InterReg/2013/10561/2 Update R61-SEND+ART5+IRQ0 ERDF Fourth Quarter (4) 2013 10/01/2014 19/02/2014 15:33:44
R1681/ES/InterReg/2013/10561/1 Initial R63-SEND+ART5+IRQ0 ERDF First Quarter (1) 2014 11/01/2014 19/02/2014 15:31:49
R1681/ES/InterReg/2013/10555/1 Initial R54-FINALIZED+9.9+CCI ERDF Fourth Quarter (4) 2013 10/01/2014 19/02/2014 15:13:22
R1681/ES/InterReg/2013/10559/2 Update R58-SEND+ART5 ERDF Fourth Quarter (4) 2013 10/01/2014 19/02/2014 15:30:07
R1681/ES/InterReg/2013/10559/1 Initial R58-SEND+ART5 ERDF Fourth Quarter (4) 2013 10/01/2014 19/02/2014 15:24:06
R1681/ES/InterReg/2013/10549/1 Initial R52-EN-2000-2006-INTERREG-IRQ2-EUR ERDF Fourth Quarter (4) 2013 10/01/2014 03/02/2014 09:52:28
R1681/ES/InterReg/2013/10556/1 Initial R55-FINALIZED+SEND+CCI ERDF Fourth Quarter (4) 2013 10/01/2014 19/02/2014 15:17:07
R1681/ES/RepAut/2013/20002/1 Initial R5-DE-1989-1993-1-IRQ2-CYP-JP-IMI ESF Fourth Quarter (4) 2013 10/01/2014 03/02/2014 09:52:19
R1681/ES/InterReg/2013/10548/1 Initial R51-EN-2000-2006-INTERREG-IRQ2-EUR ERDF Fourth Quarter (4) 2013 10/01/2014 03/02/2014 09:52:28
R1681/ES/InterReg/2013/10550/1 Initial R53-EN-2000-2006-INTERREG-IRQ2-EUR ERDF Fourth Quarter (4) 10/01/2014 05/03/2014
<< < 1 2 > >>
Select all
Print
Export as XML
Export as Excel
Send
Delete
Finalize

Figure 11: List communications

You can list all communications that are part of an open case.

Communications that are part of a closed case cannot be listed. You can find them by doing a search. For more information about the search function, see chapter 16 **Error! Reference source not found.**.

To display the list of communications:

1. On the homepage, click 'List communications'.
2. The communications are listed in a table.

The following columns are available:

- Reference Number
- Communication Type
- National Reference
- Fund
- Quarter
- Drafting Date
- Registration Date
- State. See chapter 11.2

Click the headers of the columns to sort communications by that column in ascending or descending order.

10.1 States of Communications

Figure 12: Communications status field

The communication can be is different states depending on where in the lifecycle the communication is. For more information about the lifecycle see chapter 2 Communication Life Cycle.

The table below describes the icons used to illustrate the different states that a communication can have:

Icon	Communication state	Case state	Action requested	Description
	Draft	Case Open	-	The communication is saved for further editing.
	Saved for submission (finalized)	Case Open	-	The communication is completed and ready to be sent. The case covered by the communication is open. The manager of your RA can reject the communication.
	Submitted to a “parent” RA	Case Open	-	The manager of the “parent” RA is expected to process the communication (send or reject it).
	Received by a "parent" RA	Case Open	-	A submitted communication, as seen by the manager of the "parent" RA.
	Rejected	Case Open	-	Only the originator of the communication can edit its content and resubmit it.
	Resubmitted to a "parent" RA	Case Open	-	The manager of the “parent” RA is expected to process the communication (send or, if needed, reject it again). The manager from your own organisation can also reject the communication again.
	Resubmitted and received by a "parent" RA	Case Open	-	A resubmitted communication, as seen by the manager of the "parent" RA.
	Submitted to OLAF	Case Open	-	OLAF can amend the communication if needed
	Modified by OLAF	Case Open	-	OLAF amended the communication.
	Saved for submission (finalized)	Case Open	Cancellation Requested	A communication which requests the cancellation of a case is completed and ready to be sent. The case remains open until the communication is sent to OLAF. When the communication is in the status *Submitted to OLAF*, the case is cancelled ( ).
	Submitted to a “parent” RA	Case Open	Cancellation Requested	The manager of the “parent” RA is expected to process the communication (send or reject it).
	Received by a "parent" RA	Case Open	Cancellation Requested	A submitted communication, as seen by the manager of the "parent" RA.
	Resubmitted to a "parent" RA	Case Open	Cancellation Requested	The manager of the “parent” RA is expected to process the communication (send or, if needed, reject it again).
	Resubmitted and received by a "parent" RA	Case Open	Cancellation Requested	A resubmitted communication, as seen by the manager of the "parent" RA.
	Submitted to OLAF	Case Cancelled	-	The communications belonging to the *Cancelled* case are accessible through the **Search** page.
	Saved for submission (finalized)	Case Open	Closure Requested	A communication which requests the closure of a case is completed and ready to be sent. The case remains open until it is sent to OLAF. When the communication is in the state *Submitted to OLAF*, the case is closed ( ).
	Submitted to a “parent” RA	Case Open	Closure Requested	The manager of the “parent” RA is expected to process the communication (send or reject it).
	Received by a	Case Open	Closure	A submitted communication, as seen by the

Icon	Communication state	Case state	Action requested	Description
	"parent" RA		Requested	manager of the "parent" RA.
	Resubmitted to a "parent" RA	Case Open	Closure Requested	The manager of the “parent” RA is expected to process the communication (send or, if needed, reject it again).
	Resubmitted and received by a "parent" RA	Case Open	Closure Requested	A resubmitted communication, as seen by the manager of the "parent" RA.
	Submitted to OLAF *or* Modified by OLAF	Case Closed	-	A communication which requests the closure of a case is sent to OLAF. The case is closed when the communication is in the status *Submitted to OLAF.* If OLAF amends the communication, its new status will be *Modified by OLAF* and the case will remain closed. If OLAF amends the communication and in the same time the situation of the case (opens the case), the new status of the communication will be *Modified by OLAF* and the case will become open ( ). The communications belonging to a *Closed* case are accessible through the **Search** page.
	Finalized/ saved for submission	Case Closed	Reopening Requested	A communication which requests to reopen a case is completed and ready to be sent. The case remains closed until the communication is sent to OLAF. When the communication is in the status *Submitted to OLAF*, the case is open ( ).
	Submitted to a “parent” RA	Case Closed	Reopening Requested	The manager of the “parent” RA is expected to process the communication (send or reject it).
	Received by a "parent" RA	Case Closed	Reopening Requested	A submitted communication, as seen by the manager of the "parent" RA.
	Resubmitted to a "parent" RA	Case Closed	Reopening Requested	The manager of the “parent” RA is expected to process the communication (send or, if needed, reject it again).
	Resubmitted and received by a "parent" RA	Case Closed	Reopening Requested	A resubmitted communication, as seen by the manager of the "parent" RA.
	Submitted to OLAF *or* Modified by OLAF	Case Expired	-	A case expires when the following criteria are met: *creation date* + 5 years AND *closure date* + 3 years AND *Programme/ Operation closure date* + 3 years (exception: for module 1848, the Programme/ Operation closure date does not exist. Therefore, only the first two criteria apply).
	Anonymized	Case Anonymized	-	OLAF can 'anonymize' communications belonging to an expired case. When a communication of that expired case is anonymized, all its communications are automatically anonymized. The anonymized case and communications are accessible through the **Search** page.

Table 2: States of Communications

10.2 Options Available While Listing Communications

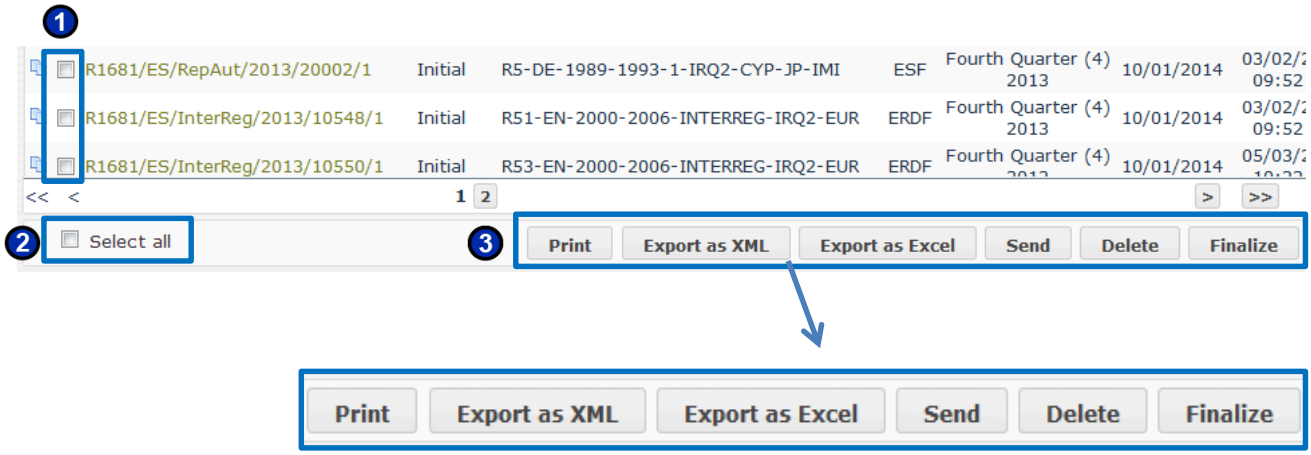


Figure 13: List communications options

At the bottom of the list communications field several buttons are displayed. You must first select one or more communications to use the buttons:

1. Tick one of the click boxes to select a communication
2. Or tick the 'Select all' click box to select all communications.
3. Depending on your profile, the following buttons are available:
    - **Print**: The print version of the communication is opened and the print dialog box is displayed. For more information see chapter 13 Print a communication.
    - **Export as XML**: Export the communication as an XML file. For more information, see chapter 14.1 Export Communications as an XML File.
    - **Export as Excel**: Export the communication as an Excel sheet. For more information, see chapter 14.2 Export Communications as an Excel Sheet.
    - **Send the communication**: This option is only available to a user with manager rights. Creators do not see this button. Click this button to submit the communication. For more information on submitting a communication see chapter 18.1 (Re)Submit a Communication.
    - **Delete**: Delete the communication. You can only delete drafts.
    - **Finalize**: Finalize the communication. You can only finalize valid drafts. For more information, see chapter 4 Validate and Finalize a Communication.

11. View a communication

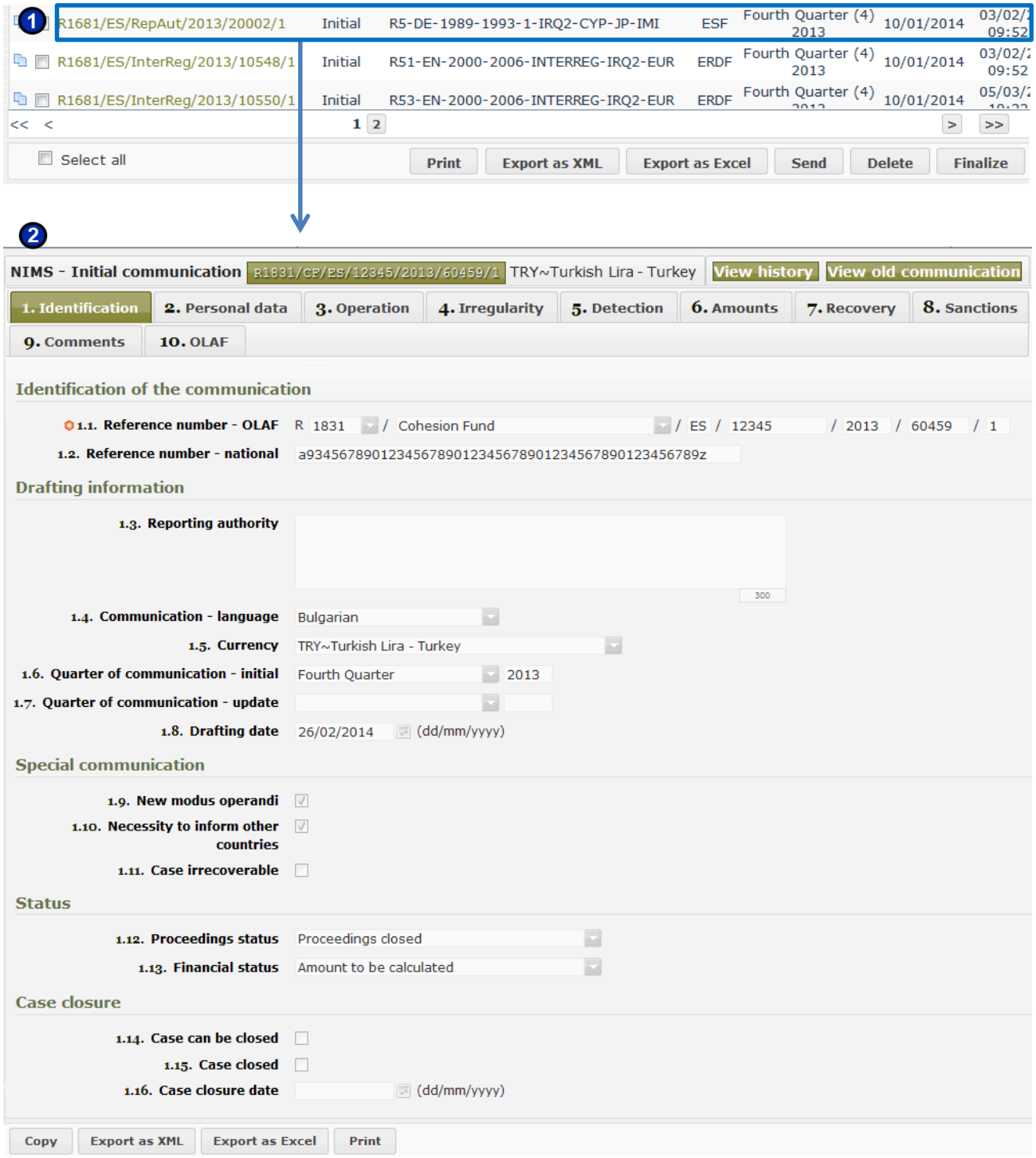


Figure 14: View a communication

You can view any communication according to your role and user rights.
At the same time, the ability to view communications depends on the reporting structure. The communications may only be viewed when they are submitted by a lower level Reporting Authority to the current Reporting Authority.

The communication remains accessible (view mode) when it is submitted to a parent Reporting Authority.

You can view a communication by clicking on it (1). The communication is opened (2).

For more information on the reporting structure and the communication workflow, see chapter 2 Communication Life Cycle.

11.1 View history

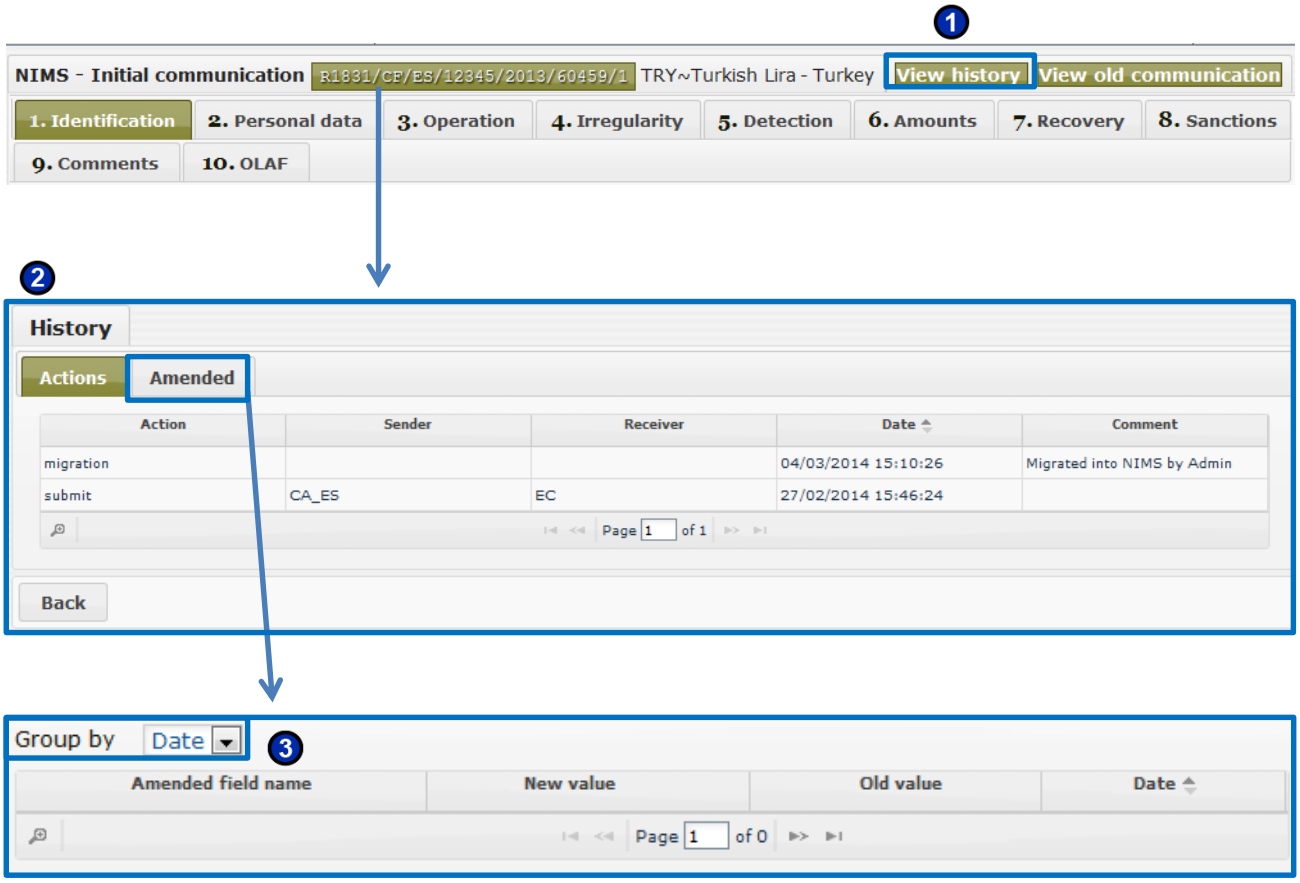


Figure 15: View communication history

To View the history of a communication:

1. Click the **View history** button on the view page.
2. The 'History' page is loaded. The page has 2 tabs:

Actions
The actions tab contains information about all the actions concerning the communication, such as when it was submitted and who submitted it.

The following fields are listed:

- **Action**: what was done with the communication (finalized, submitted, rejected).
- **Sender**: who submitted, re-submitted, rejected etc. the communication The Organisation that the creator of the communication is part of.
- **Receiver**: to whom the communication was submitted, re-submitted, rejected etc. The Organisation to which the initiating Organisation reports.
- **Date**: when was the communication submitted, re-submitted, rejected etc. Date format: DD/MM/YYYY hh:mm:ss.
- **Comments**: if a communication was rejected, the reason for rejection is displayed here.

Amended
The amended tab contains information about all the changes made in the communication by OLAF and the date on which the changes were made.

The following fields are listed:

- **Amended field name**: the name of the field that was amended by the OLAF manager.
- **New value**: the new information added by the OLAF manager when amending.
- **Old value**: the old value before amendment.
- **Date**: The date on which the file was amended. Date format: DD/MM/YYYY hh:mm:ss

3. Select an option from this dropdown list to sort the table by 'date' or 'field'.

For communications that are part of a cancelled case, data that was recorded during the communication amendment by OLAF and the rejection reasons for rejected communications is not displayed

11.2 View old communication

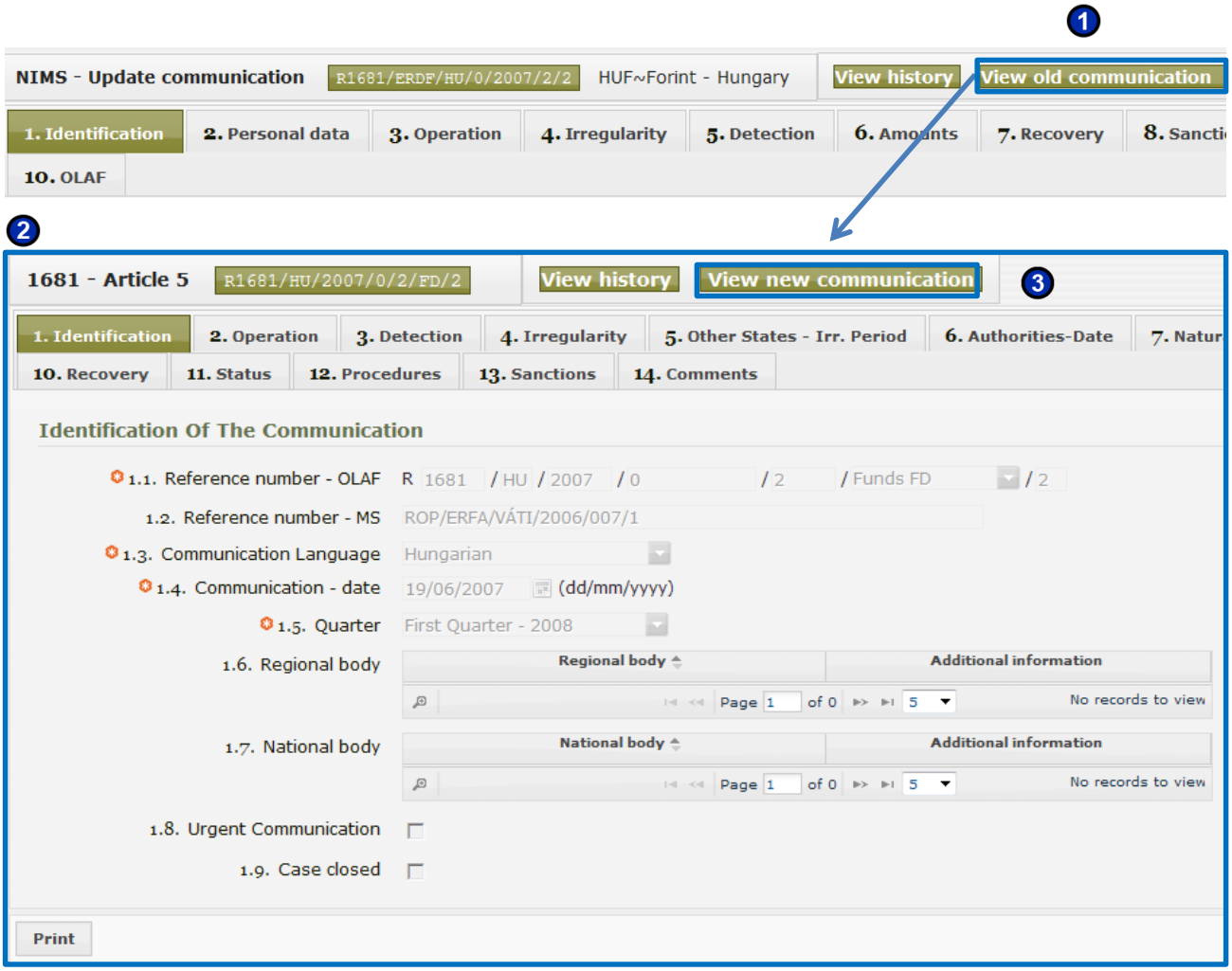


Figure 16: View old communication

On the 'View old communications page, you can see the communications in the previous IMS format. This option is only available for those communications that were imported from the previous IMS system into the current IMS system.

To view the old communication:

1. Click the **View history** button on the view page.
2. The old communication is displayed.
3. Click the **View new communication** button to view the communication in the new format.

11.3 Actions available while viewing communications

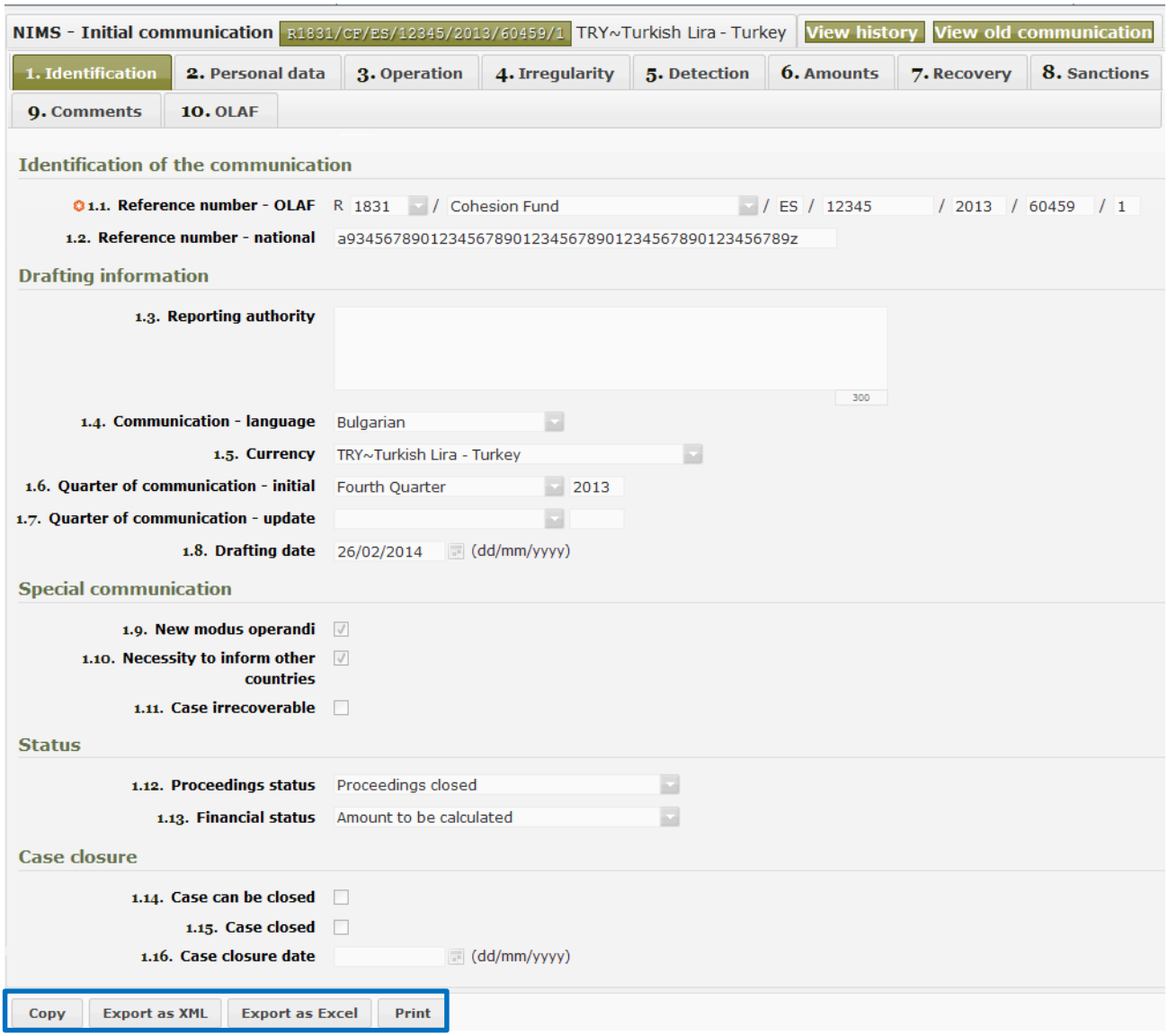


Figure 17: Actions available while viewing communications

Depending on your profile, the following buttons are available:
Copy: Copy the communication. You can use the copied communication as a template for a new communication. See chapter 12 Copy a Communication.
Export as XML: Export the communication as an XML file. For more information, see chapter 14.1 Export Communications as an XML File.
Export as Excel: Export the communication as an Excel sheet. For more information, see chapter 14.2 Export Communications as an Excel Sheet
Print: The print version of the communication is opened and the print dialog box is displayed. For more information see chapter 13 Print a communication.

12. Copy a Communication

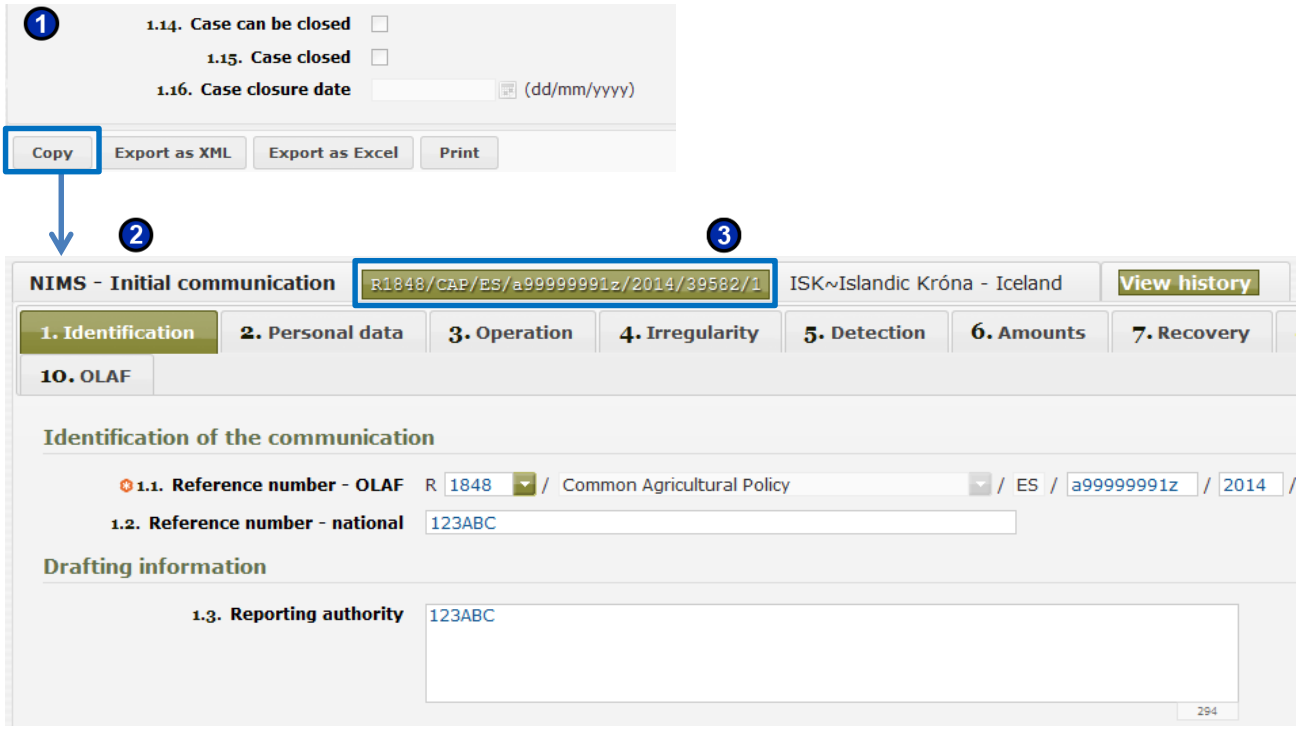


Figure 18: Copy a communication

You can copy an existing communication (initial or updated) and then use it as a template for a new initial communication.
The attachments are also copied.

To copy a communication:

1 Click the **Copy** button at the bottom of the page.
2 A copy of the communication is created. It has a different reference number (3). You can edit the communication and save it as a new initial communication.

You can also copy an update communication. It will be copied as a new initial communication.

The system displays the copied irregularity form and you can change the information accordingly.
The following communications cannot be copied:

- Communications with the **modified by OLAF** status
- Communications with the **rejected** status
- Communications with the **anonymized** status
- Communications that are part of a **cancelled** case
- Zero Notification

13. Print a communication

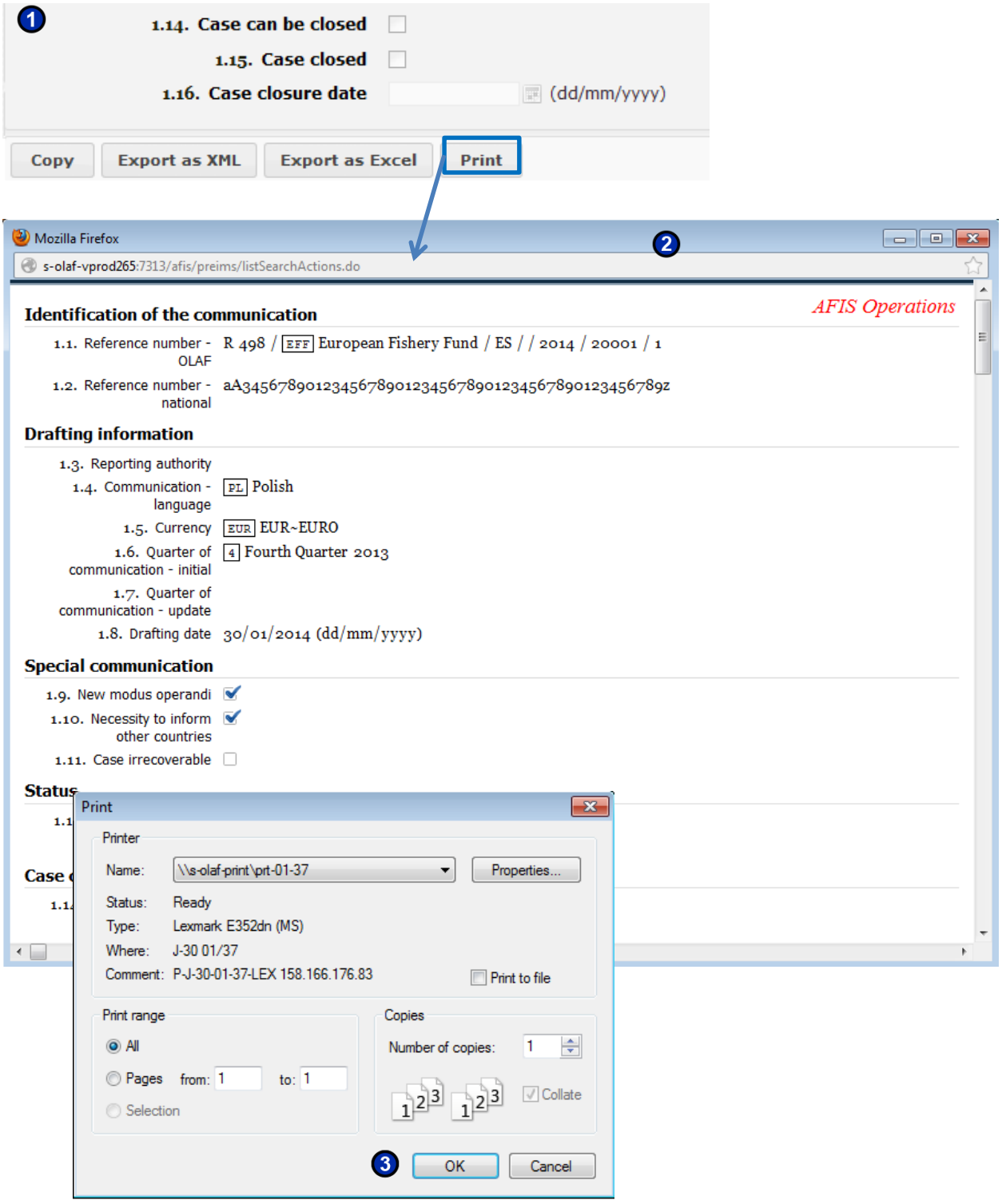


Figure 19: Print a communication

To print a communication:

1. Click the **Print** button.
2. The print preview is displayed. A dialog box is displayed.
3. Select the printing options and click **OK**.

14. Export Communications

You can export communications as an Excel sheet or an XML. You can export communications in your search results or communications from the 'List communications ' page.

14.1 Export Communications as an XML File

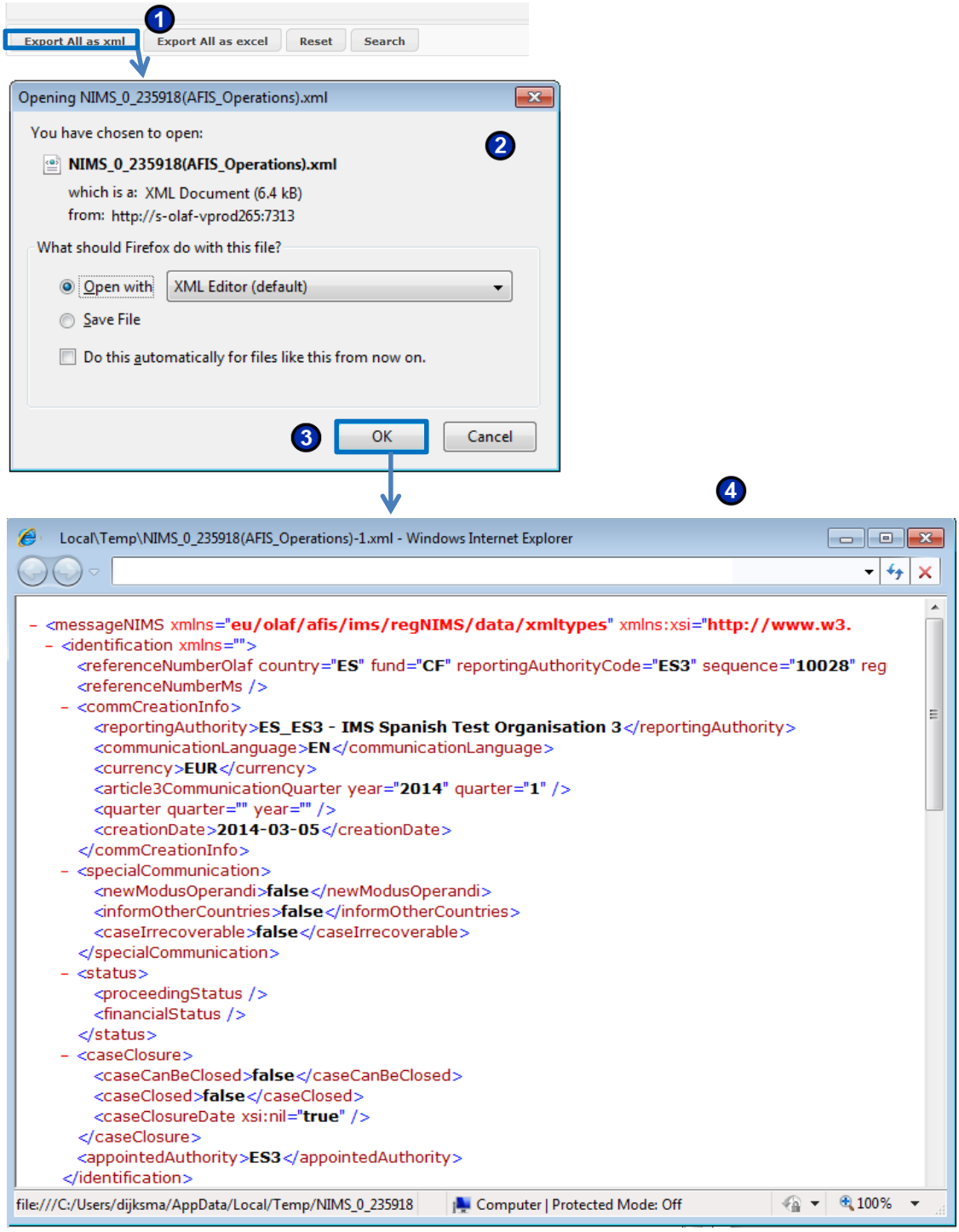


Figure 20: Export a communication as XML

To export communications to an XML file:

1. Click the **Export all as xml** button.
2. A dialog box is opened. Select if you want to open or save the file.
3. Click **OK**.
4. Depending on the previously selected option in the dialog box, the XML file is saved or displayed.

14.2 Export Communications as an Excel Sheet

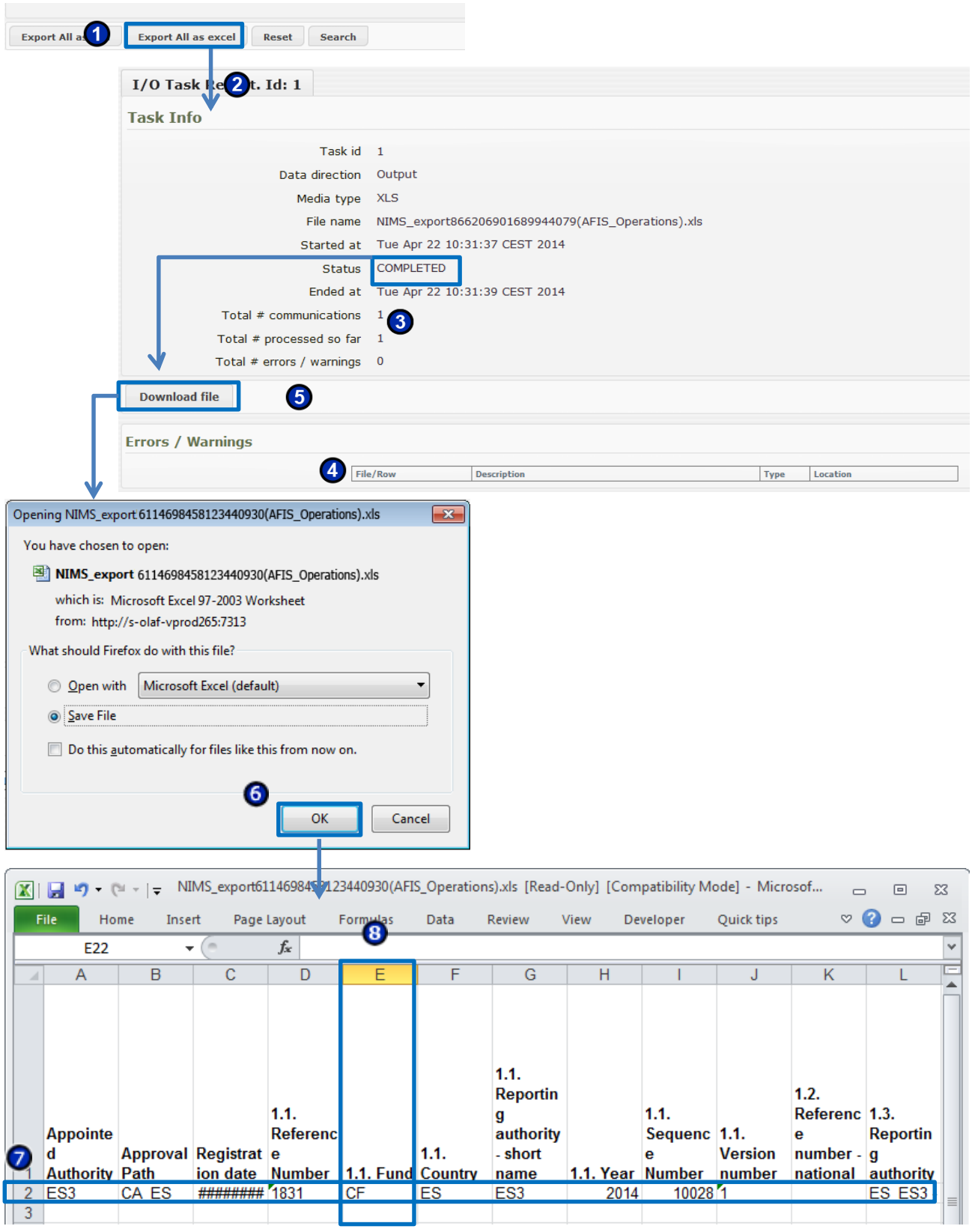


Figure 21: Export a communication as an Excel sheet

To export communications to an Excel sheet:

1. Click the **Export all as excel** button.
2. The 'Task info' page is displayed. It contains a information about the export.
3. When the status is set to 'Completed', the exported file is ready for download.

The status isn't automatically updated. You must click the **Refresh** button, to check if the status is set to 'Completed'.

4. If there are any errors in the export, they are displayed in this table.
5. Click **Download file**, to start the download.
6. Click **OK** to start the download.

Every line in the Excel file corresponds to an exported communication (7). Every vertical column corresponds to a field in the communication form (8). For example column E 1.1 Fund, corresponds to the fund selected in field 1.1 in the communication form.

15. Import Communications

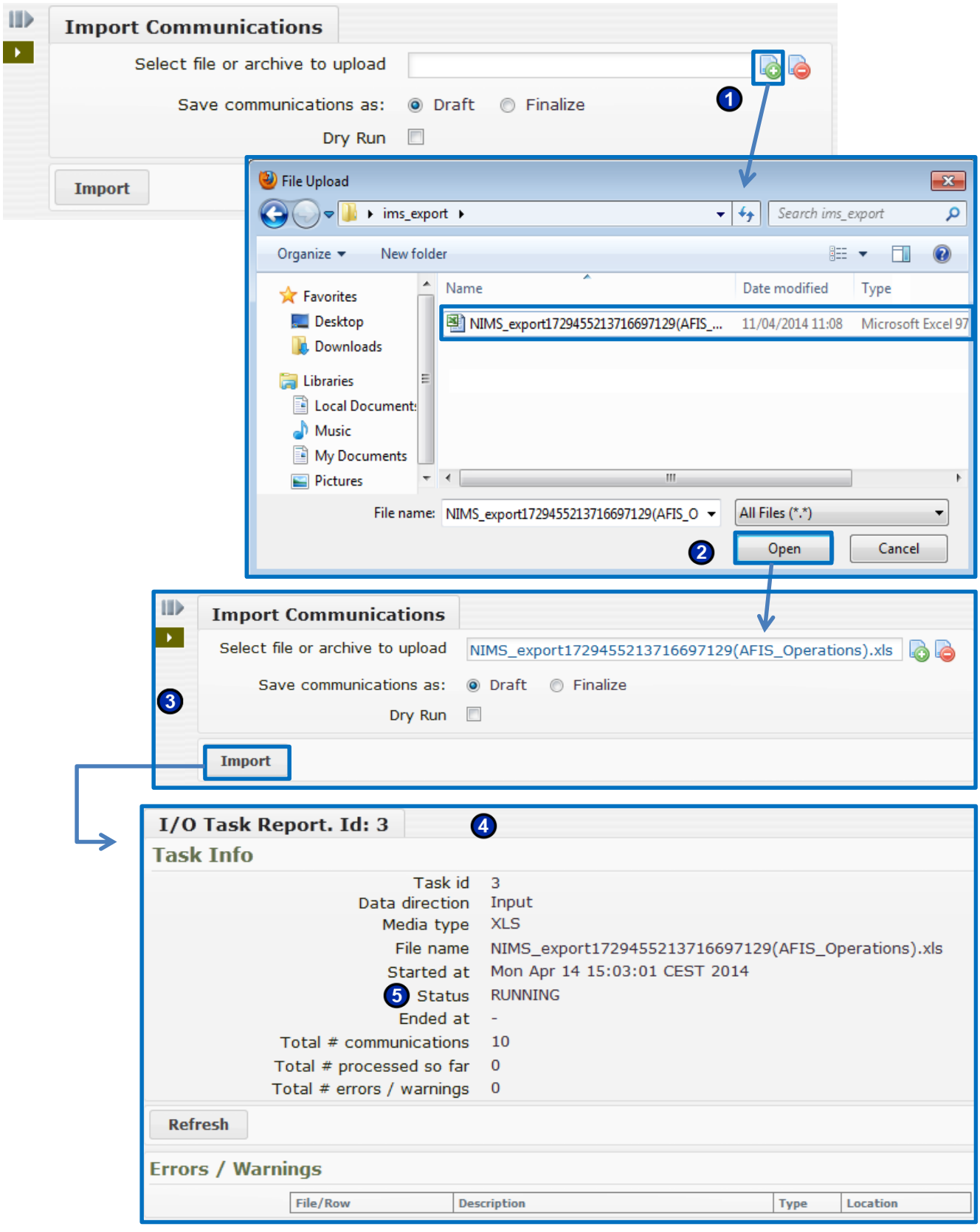


Figure 22: Import a communication

You can create Initial and Update communication by importing them in .xml or excel format. You can import communications that are in the draft or finalized states for both open and closed cases. You cannot import Zero Notification communications or communications for cancelled cases.

The communications to import must be in a specific Excel template or the IMS XML standard format.

To import a communication:

1. Click the **Add** ( ) button to browse to the file that you want to upload.
2. Select the file to import.
3. Click the **Import** button.
4. A screen is displayed with information on the file that is being imported.
5. The 'Running' status indicated that the system is importing the communication. When the status is chaged to 'Completed', you can upload the file.

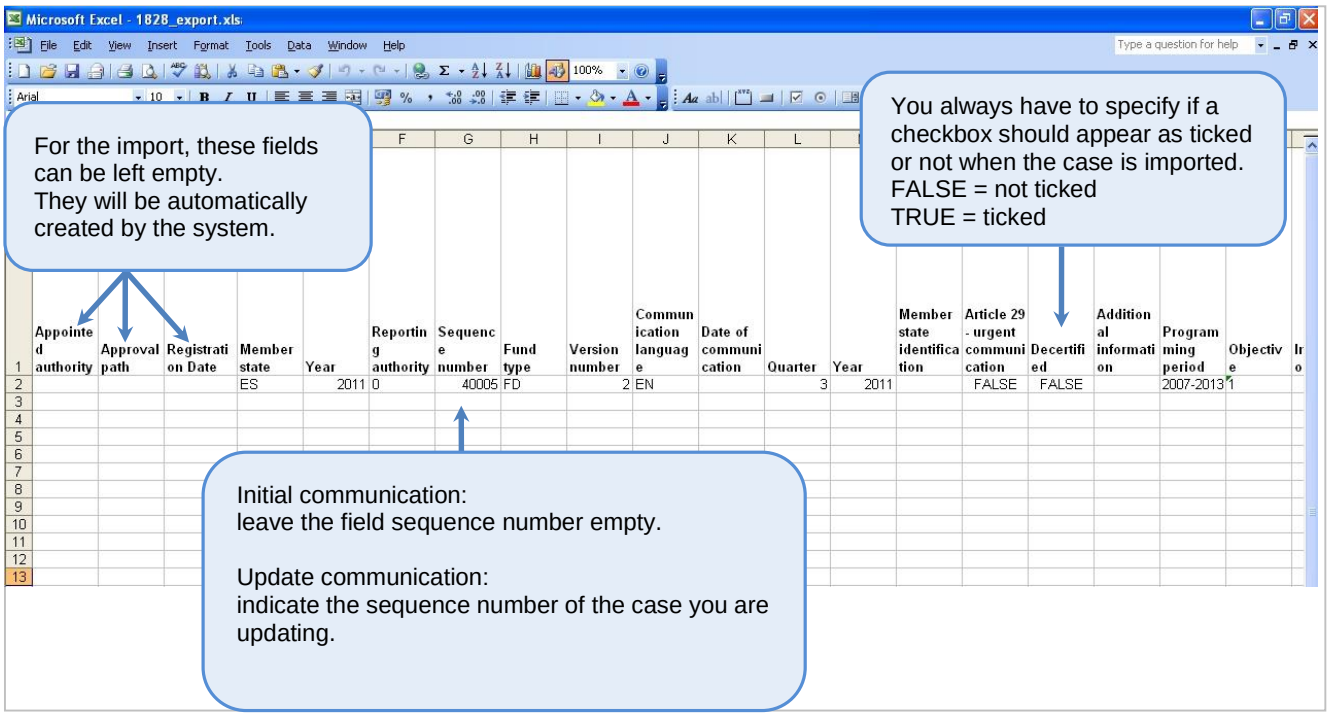
The status isn't automatically updated. You must click the **Refresh** button to check if the status is set to 'Completed'.

If you check the 'Dry Run' checkbox, the system only simulates the import of the communication(s). As a result, the system confirms if an import can be done correctly or not.

All the fields that are read-only on the communication page are automatically entered by the system and are thus ignored during the import e.g. some amounts fields and some fields related to the CCI number etc. are ignored during import.

If you want to import several communications at the same time, you must add all communications to a .ZIP folder and import it.

15.1 Rules for the Creation of an Excel File to Import


Microsoft Excel - 1828_export.xls
For the import, these fields can be left empty.
They will be automatically created by the system.
You always have to specify if a checkbox should appear as ticked or not when the case is imported.
FALSE = not ticked
TRUE = ticked
Initial communication:
leave the field sequence number empty.
Update communication:
indicate the sequence number of the case you are updating.

	Appointed authority	Approval path	Registration Date	Member state	Year	Reporting authority	Sequence number	Fund type	Version number	Communication language	Date of communication	Quarter	Year	Member state identification	Article 29 - urgent communication	Decertified	Additional information	Programming period	Objective	Io
2				ES	2011	0	40005	FD	2	EN		3	2011		FALSE	FALSE		2007-2013	1	

Figure 23: Sample Excel File to Import

1.8. Article 4	1.9. Case closed	2.1. Legal status	2.2. Name	2.3. Trade name/First name
FALSE	TRUE	Legal Entity|Natural Person	SA Hope|Hinoot	Galaxy|Francoise
FALSE	TRUE	Legal Entity|Legal entity	Sales NV|Nachbar GmbH	|Agrarmarkt
FALSE	FALSE	Natural Person	Kaiser	Jaan
FALSE	FALSE	Legal Entity	Delaware LLC	Have faith
FALSE	TRUE	Natural Person|Natural Person	Smith|Jansen	John|

Figure 24: "|" character

The easiest way to get a valid excel file for import is to export one from IMS.
A valid excel file has:
a certain number of columns equal to the fields on the reports creation page.
Each line contains one communication. You can have several communications included in one excel file

In the columns corresponding to the fields which are part of a master-detail list, each value in a field should be separated by the “pipe” character “|”.

In case information is not available, the pipe character "|" still needs to be used, in order to make it possible for IMS to make the correct combination. The combinations of the above shown example are
SA Hope and Galaxy, Hinoot and Francoise, Nachbar GmbH and Agrarmarkt, Smith and John.

Zero Notification communications cannot be imported.

15.2 Error reporting

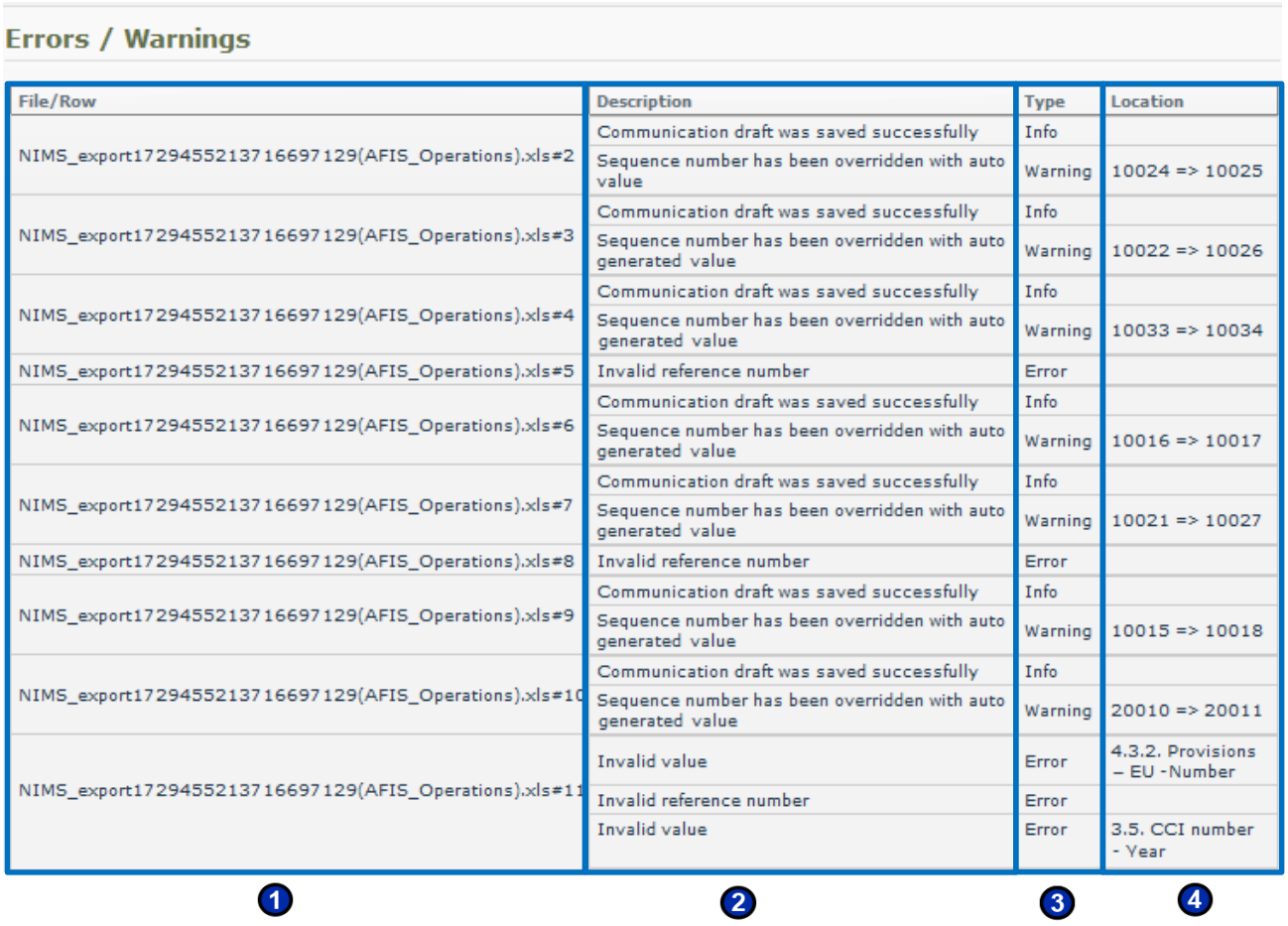


Figure 25: Errors/Warnings

When you import communications, they are validated. You cannot import an invalid file. If the system finds errors in the file, you must first correct them before importing. Errors are displayed in the Errors/warnings table:

1. File/Row: the name of the file and the row that contains an error. For Excel, this is the row number. For Zip, this is the file number in the zip.
2. Description: a textual description of the problem
3. Type: Error or warning
4. Location: field that caused the problem (error or warning). The field always refer to the field used in the interface or the Excel template. For XML, the user has to check the corresponding XML tag.

You cannot import an invalid file. If the system finds errors in the file, you must first correct them before importing.

16. Search Communications

IMS search allows you to search for communications by specified criteria.

16.1 Search page

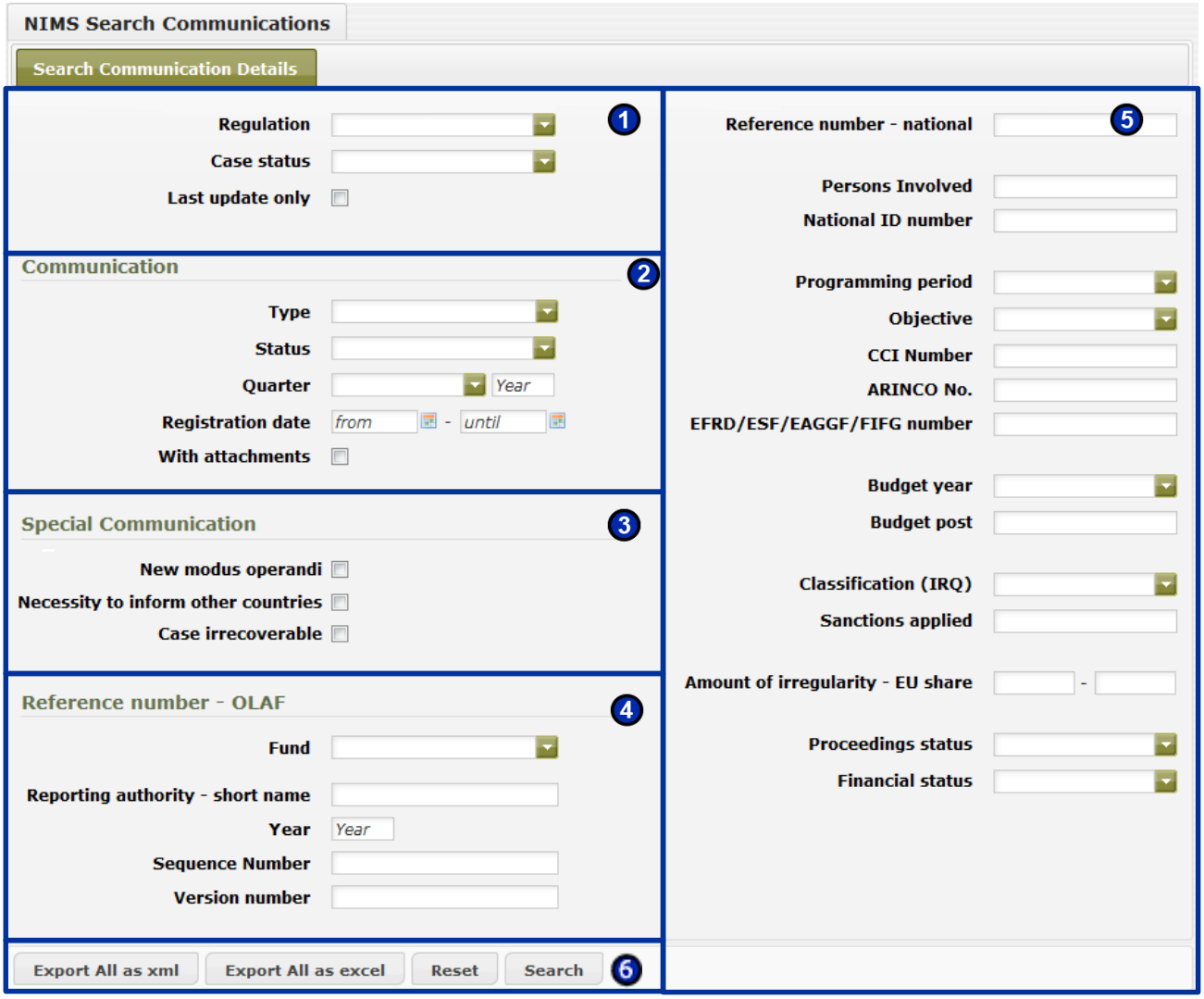


Figure 26: Search page

The search page contains several sections in which search criteria can be selected:

1. **General section**: search for general criteria such as the module via which the communication is reported, and case status.
2. **Communication**: search in a communication's metadata, i.e. the data that was automatically added by the system when you created the communication, such as the type and status. (quarter is not automatically added!)
3. **Special communication**: search if any of the options in the special communication section of the communication (fields 1.9 – 1.11) were selected.
4. **Reference number – OLAF**: search the separate sections that compose the OLAF reference numbers, such as the fund and the sequence year.
5. **Other search fields**: select other search criteria from these fields to search by.
6. **Buttons**: these buttons enable you to search, reset (clear a search of all entered criteria) and export search results to an Excel or an XML file.

16.2 Available Search Criteria

16.2.1 General and Communication Sections

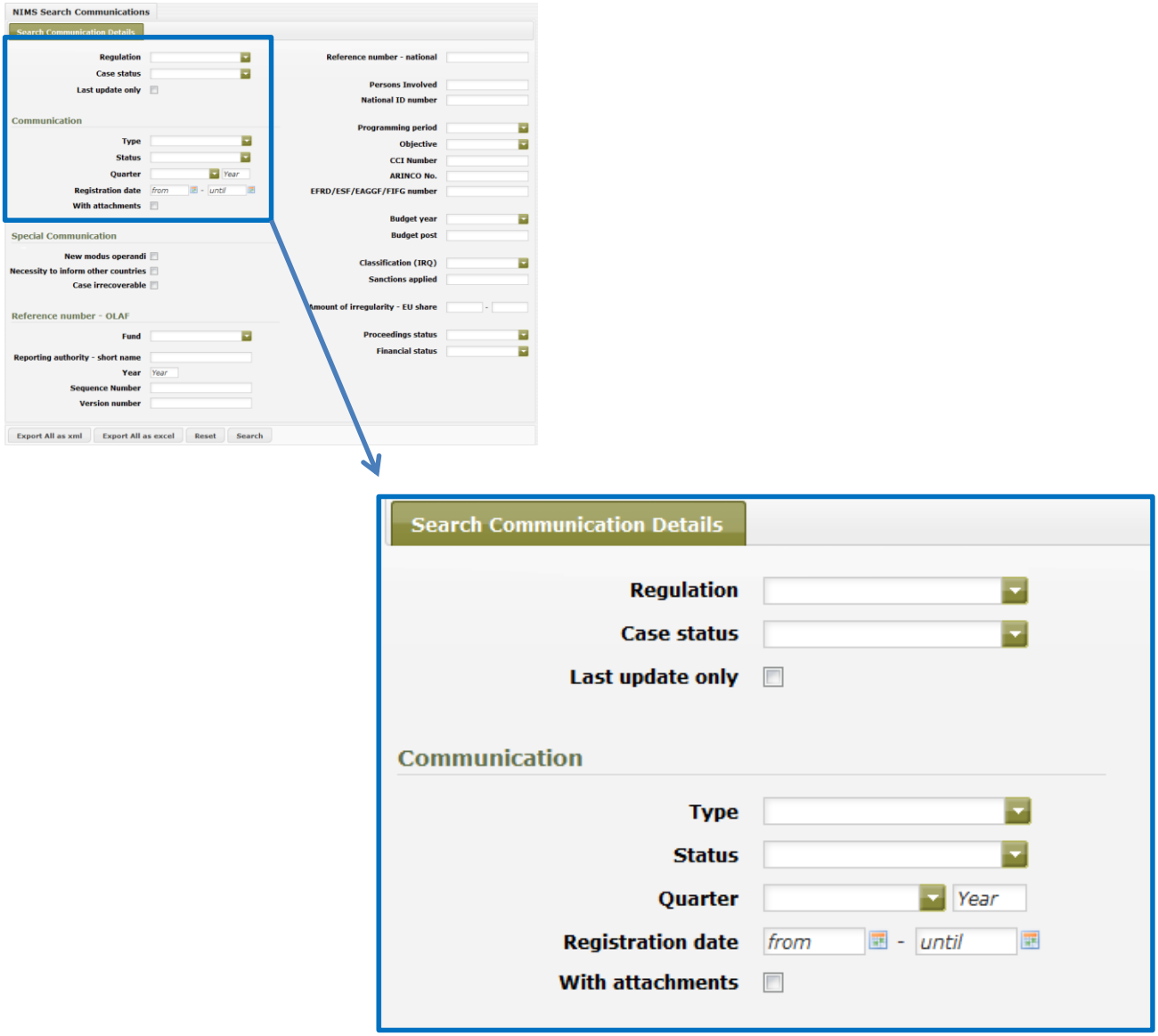


Figure 27: Available fields, General and Communication sections

The following search criteria are available:

Regulation: search by module. Select a module from the drop-down-list.
Case status: search by case status by selecting a status from the drop-down-list.
Last update only: tick the click box to search by the last communication of a case.
Type: search by type of communication.
Status: search by the status that the communication is in.
Quarter: search by the quarter during which the initial communication was created or updated.
Year: search by the year during which the initial communication was created or updated.
Registration date: search by the date when a communication was registered in the system.
With attachments:tick this checkbox to search only for communications that have attachments.

16.2.2 Special Communication and Reference Number OLAF Sections

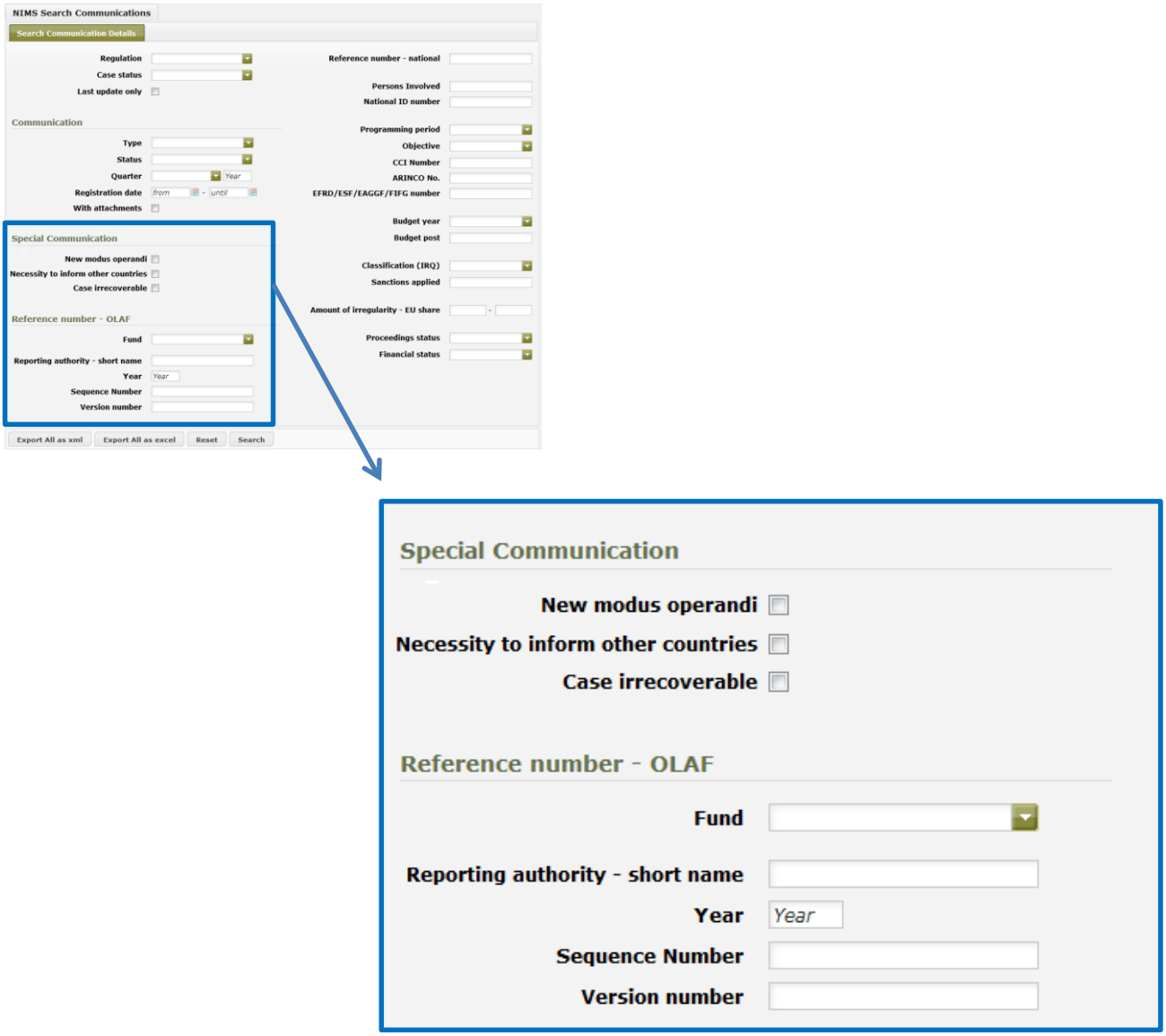


Figure 28: Available fields, Special Communication and Reference Number – OLAF sections

The following search criteria are available:

New modus operandi: tick this checkbox to display only those communications in the search results that have the option 'New Modus Operandi' enabled.
Necessity to inform other countries: tick this checkbox to display only those communications in the search results that have the option 'Necessity to inform other countries' enabled.
Case irrecoverable: tick this checkbox to display only those communications in the search results that have the option 'Case irrecoverable' enabled.
Fund: search by the fund that the communication is created under. The available values depend on the regulation selected.
Reporting authority - short name: search by the 'Reporting authority' field which is part of the OLAF Reference Number.
Year: search by the 'Year' field which is part of the OLAF Reference Number.
Sequence number: search by the 'Sequence number' field which is part of the OLAF Reference Number.
Version number: search by the 'Version' field which is part of the OLAF Reference Number.

For users with **commission observer rights**, the search might have an extra search field. If you are a national observer, you can only see those communications that are created in your organisation. However if you are a commission observer, you can see all communications. Because of this, users with commission observer rights have an extra option to **search communications by country**. The following extra field is available for commission observers:

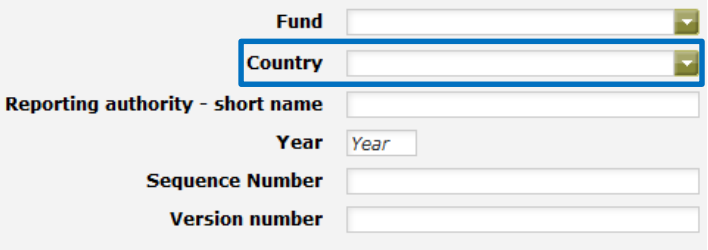


Figure 29: Search by Country fields for Commission observers only

16.2.3 Other search criteria

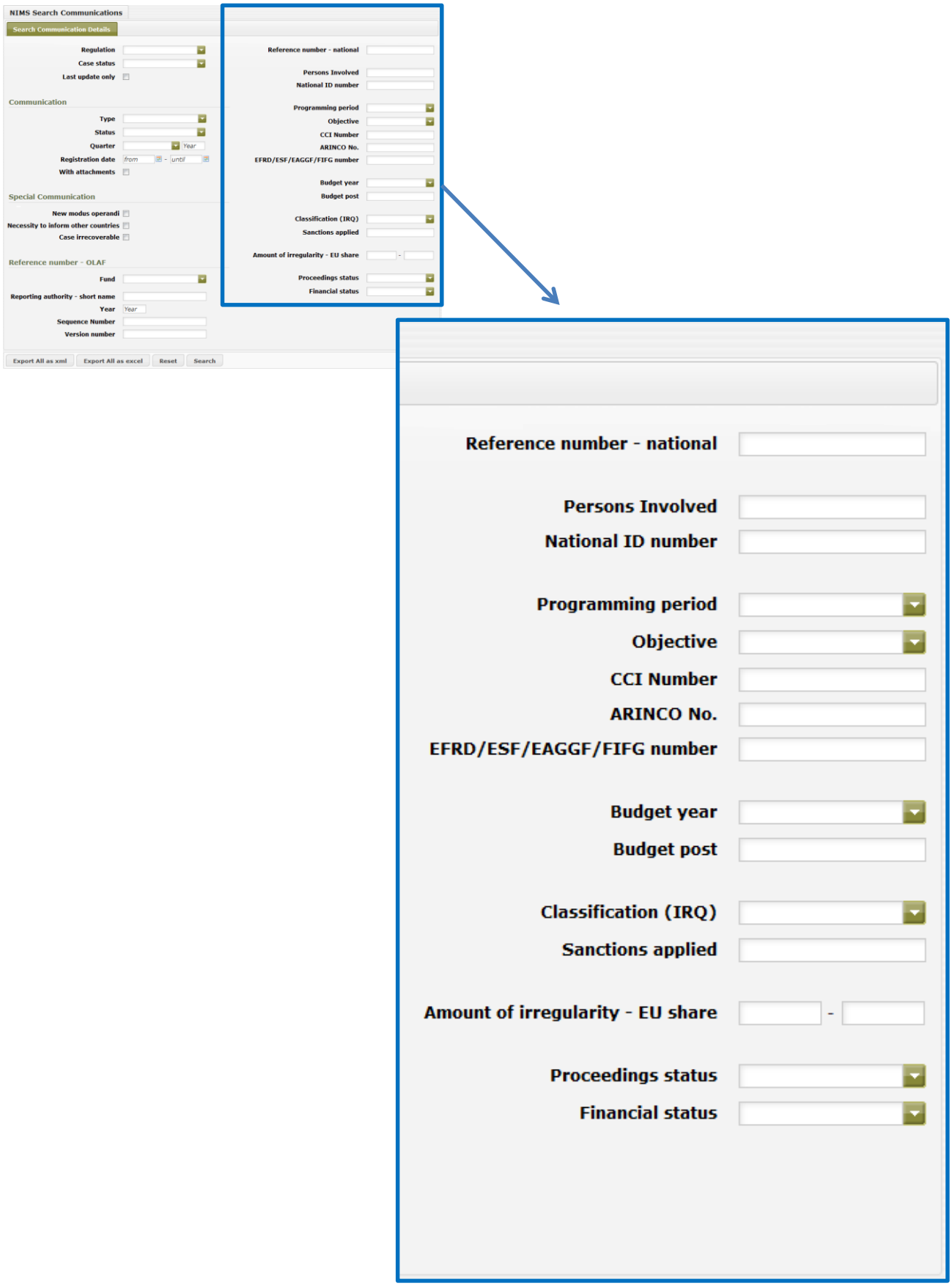


Figure 30: Available fields, other criteria

The following search criteria are available:

Reference number – national: search by the 'Reference number – national' field.
Persons involved: search by persons involved in the case. The following fields are searched:

- Company name / Family name
- Trade name / First name
- Parent name / Independent

National ID number: search by the national ID number.
Programming period: search by the programming period.
Objective: search by the 'Objective' field. The values in the list depend on the regulation and programming period selected.
CCI number: search by the 'CCI number' field.
ARINCO number: search by the 'ARINCO number' field.
EFRD/ESF/EAGGF/FIFG number: search by the 'EFRD/ESF/EAGGF/FIFG number' field.
Budget year: search by the 'Budget year' field.
Budget post: search by the field 'Budget post'.
Classification (IRQ): search by the 'Classification of the irregularity' field.
Sanctions applied: search by the 'Sanctions applied field'.
Amount of irregularity - EU-share: search by the 'Amount of irregularity - EU-share' field.
Proceedings status: search by the 'Proceedings status' field.
Financial status: search by the 'Financial status' field.

You can used the * wildcard. This wildcard enables you to search using only part of a word. For example:
*day => search results include: 'Monday', 'Tuesday' and 'day'.
day* => search results include: 'daybreak', daytime' and 'day'.

16.3 Run a search

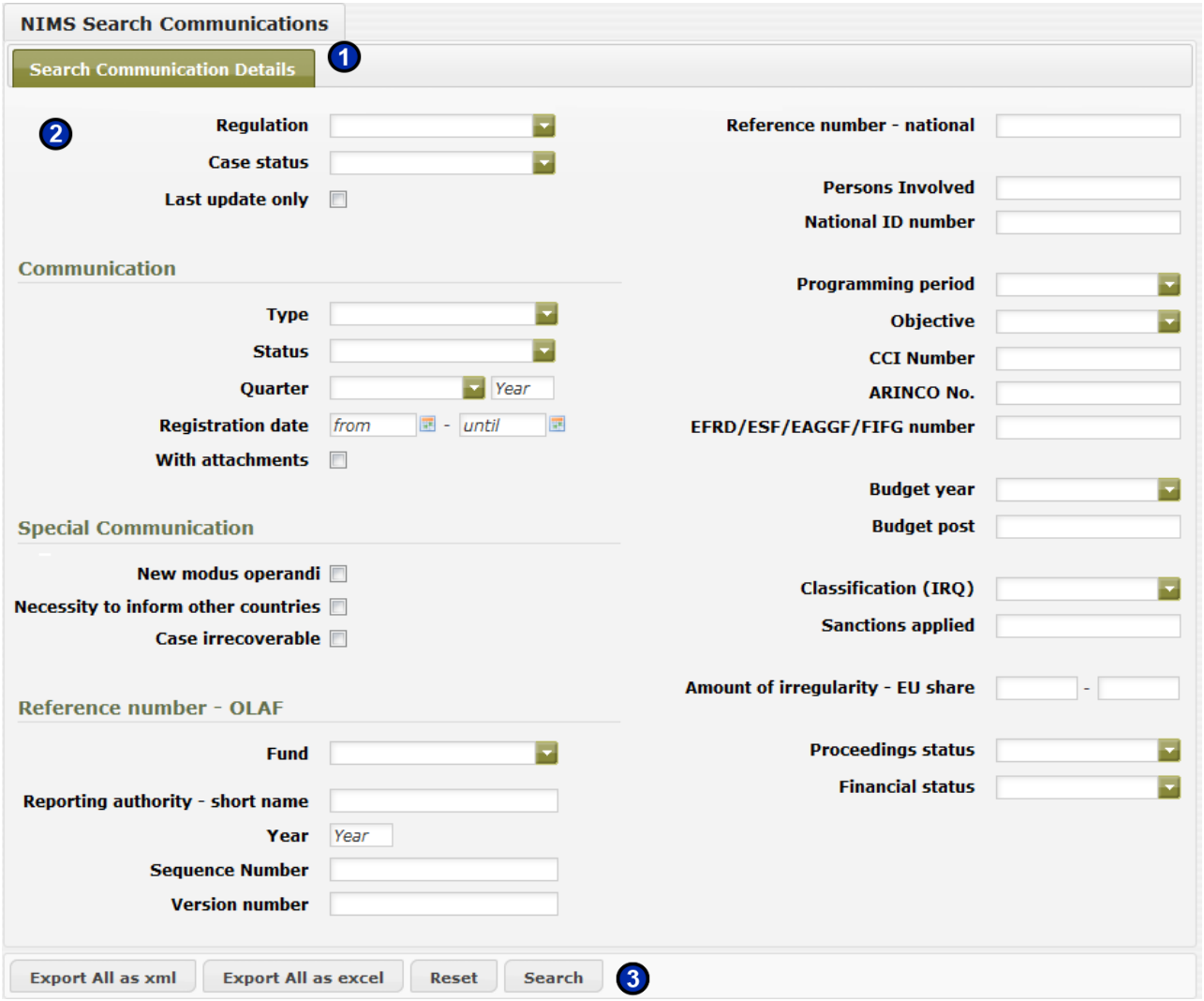


Figure 31: Run a search

To run a search:

1. Go to the search page.
2. Set the criteria that you want to search by.
3. Click the **Search** button.

16.4 Search Results

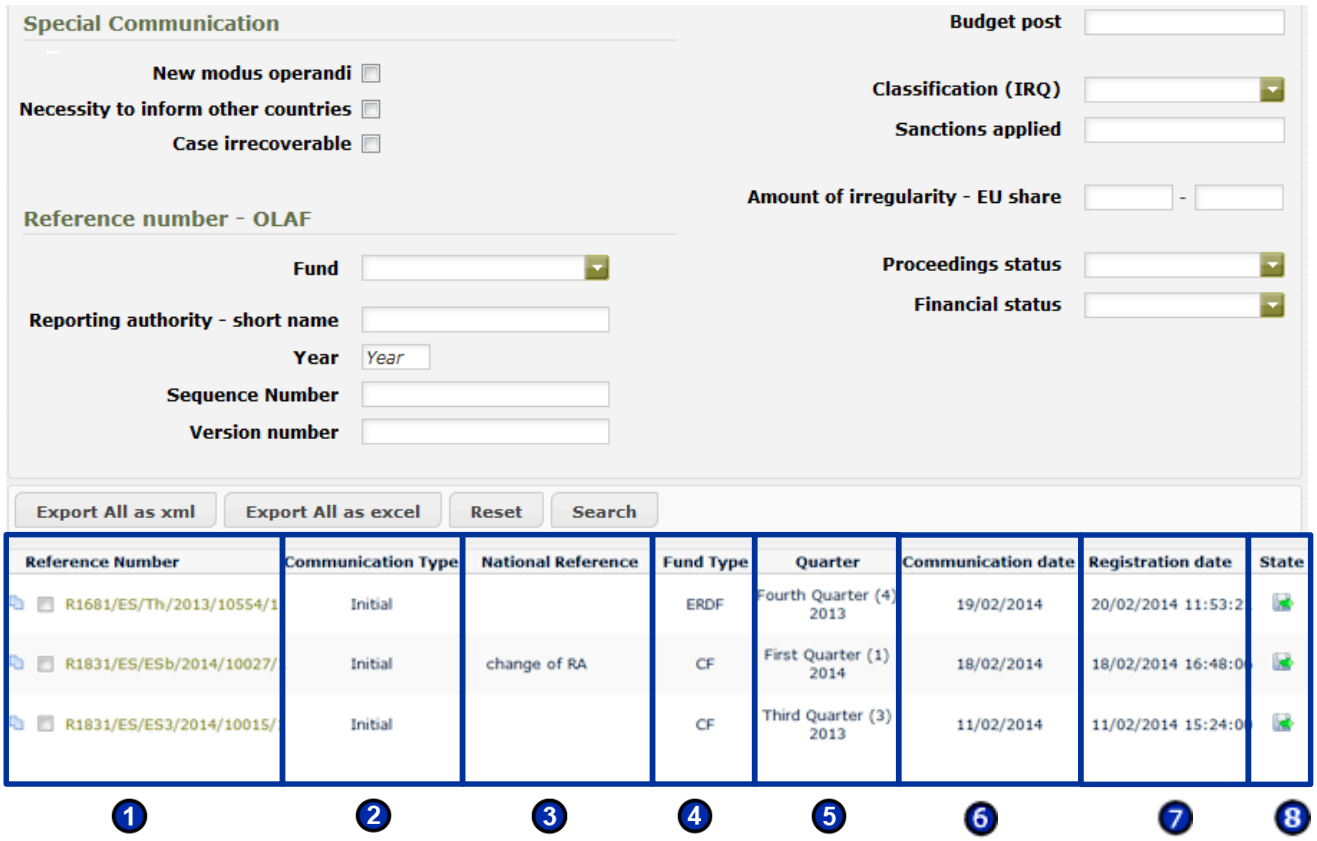


Figure 32: Search results

The search results are displayed. The following columns are available:

1. **Reference number - OLAF**: the reference number of the communication.
2. **Communication Type**: the communication can have on of the following communication types:
   - Initial communication
   - Update
   - Zero communications?!
3. Reference number - national: the national reference number of the communication.
4. **Fund Type**: the fund type that is selected for the communication.
5. **Quarter**: quarter in which the communication was created.
6. **Communication Date**: the date on which the communication was created as indicated by the creator.

Registration Date: the date when a communication was registered in the system.

7. **State**: the state that the communication is in.

17. E-mail Notifications

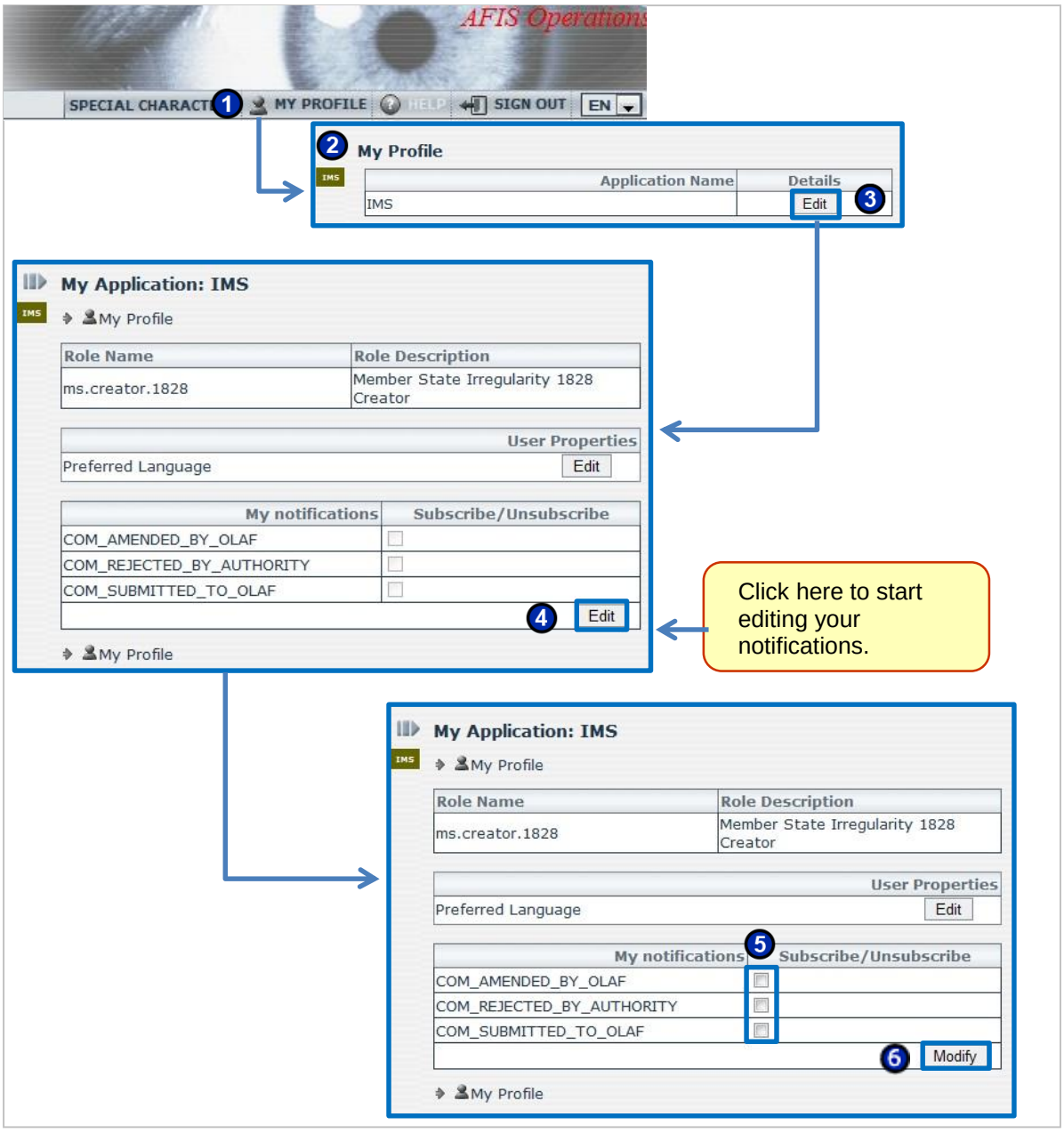


Figure 33: Enable/disable e-mail notifications

Depending on your rights, you can receive notifications by e-mail whenever the following actions are performed in IMS:

Notification	Description	Display in “My Profile”1
N1	When a communication is rejected by either a manager of the same authority, or a manager of an intermediate/central authority, a notification is sent to the creators/managers of the appointed authority.	Rejected communications
N2	When a communication is finalized, a notification is sent to the managers of the appointed authority.	New communications saved for submission (finalized)
N3	When a communication is submitted by an authority, a notification is sent to the managers of the intermediate/central authority which receives the communication.	New communications submitted for approval
N4	When a communication is amended by OLAF, a notification is sent to the creators/managers of the appointed authority.	Communications modified by OLAF
N5	When a communication is submitted to OLAF, a notification is sent to the creators/managers of the appointed authority	Communications submitted to OLAF
N6	When a communication about Interreg or Cross border programme is submitted to OLAF. In nIMS, an e-mail notifications shall be sent when a communication has one of the objectives: - Interreg – for any Programming Period - 3 (EU Territorial cooperation) – only for Programming Period 2007-2013	New communications on Interreg/Cross border programmes submitted to OLAF

You can enable/disable notifications in the 'My profile' section on the AFIS Portal. By default, there is no subscription to any notification.

Since the IMS cases/communications are not linked to users but to RAs, the notifications are sent to all users of a RA who subscribed to the corresponding event.

To receive e-mail notifications, do the following:

1. Click 'My profile' in the AFIS Portal.
2. The 'My profile' section is displayed.
3. In the 'My profile' section, click **Edit** in the 'Details' section next to the 'IMS' application.
4. In the 'My notifications' section click **Edit**. The check boxes become active.
5. Tick the check boxes to select the notifications that you want to receive. Which check boxes are available depends on your user rights.
6. Click **Modify** to save your changes.

18. Communications functions for Managers

The following actions can only be done by users with manager rights.

18.1 (Re)Submit a Communication

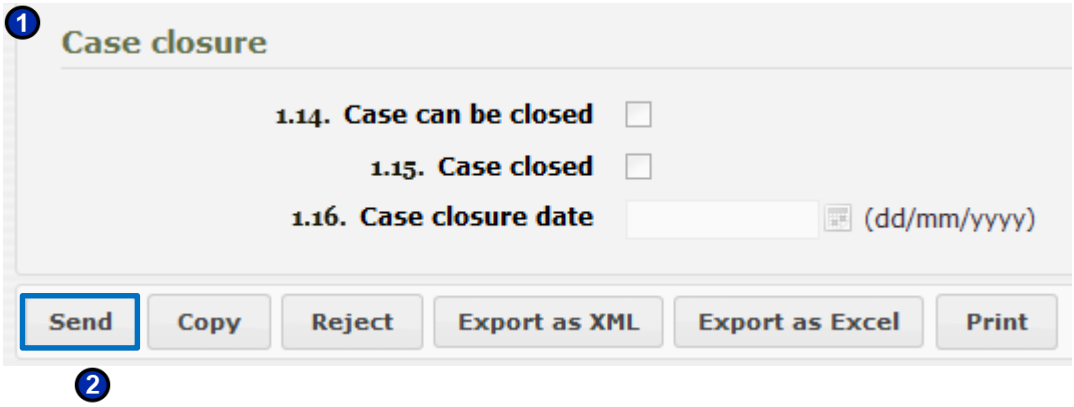


Figure 34: (Re)submit a communication

When you submit a finalized communication it gets the 'Submitted' status, and it is sent to the next reporting authority in the reporting structure. When you resubmit a communication, i.e. a communication that has been rejected and edited, it gets the 'Resubmitted' status.

For more information about submitting and rejecting communications as a part of the communication lifecycle, see chapter 2.2 The Manager Submits or Rejects the Communication.

To (re)submit a finalized communication:

1. Open a finalized communication.
2. Click **Send** to (re)submit the communication.

18.2 Reject Communication

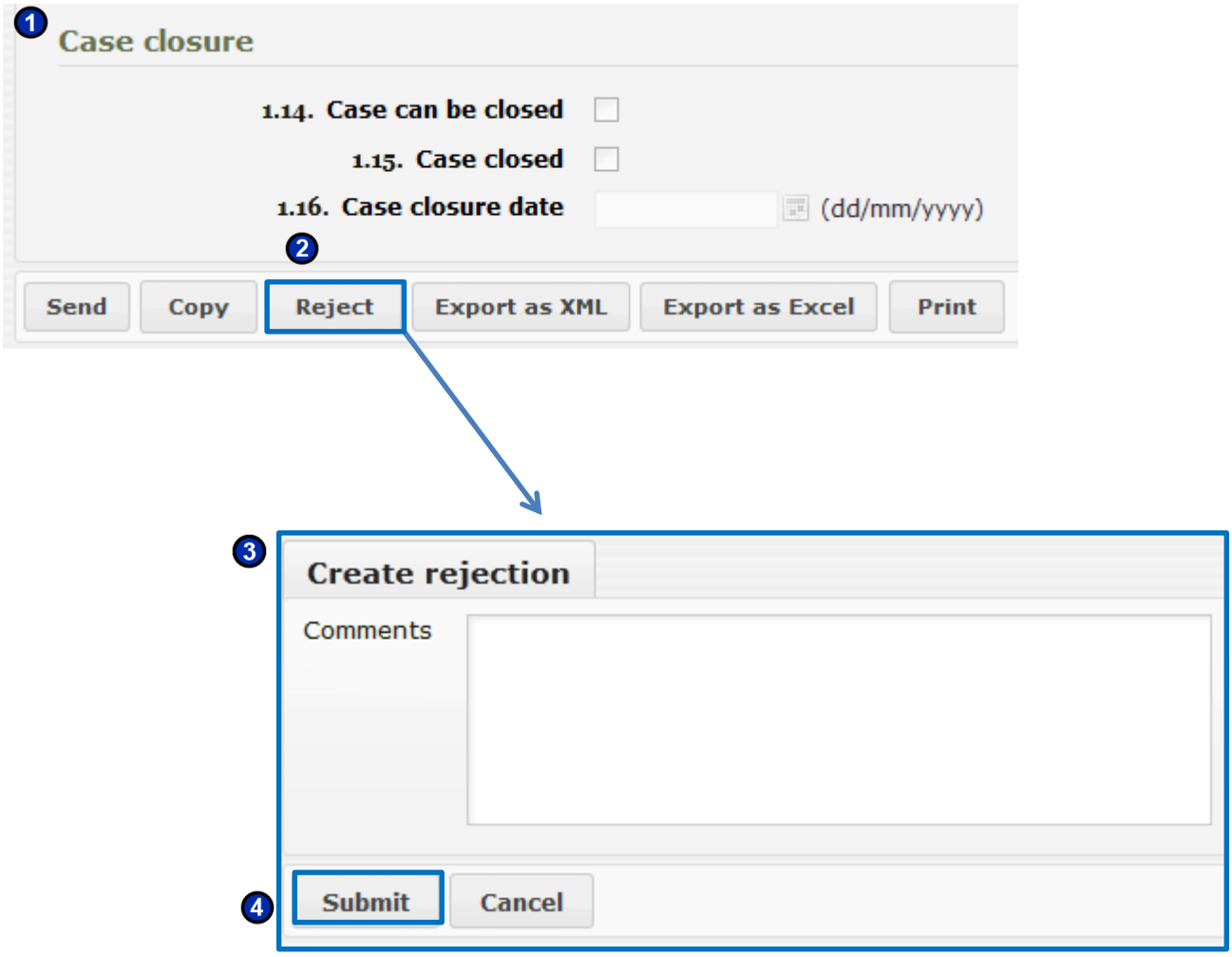


Figure 35: Reject a communication

When a communication is rejected, it gets the 'Rejected' status. From this status, it can be amended by the creator or manager and saved as a draft to edited and finalized, after which it can be submitted.
A communication that has been rejected stays visible to all organisations which could view it before rejection, but it disappears when submitted/edited again by the originator, or when it is automatically deleted after 3 months.

To reject a finalized communication:

1. Open a finalized communication
2. Click **Reject** to reject the communication
3. The 'Create rejection' page is displayed.
4. Enter a reason for rejection and click **Submit**.

For more information about submitting and rejecting communications as a part of the communication lifecycle, see chapter 2.2 The Manager Submits or Rejects the Communication.

You must give a reason for rejection.

A communication sent to OLAF cannot be rejected.

18.3 Create a New Zero Notification

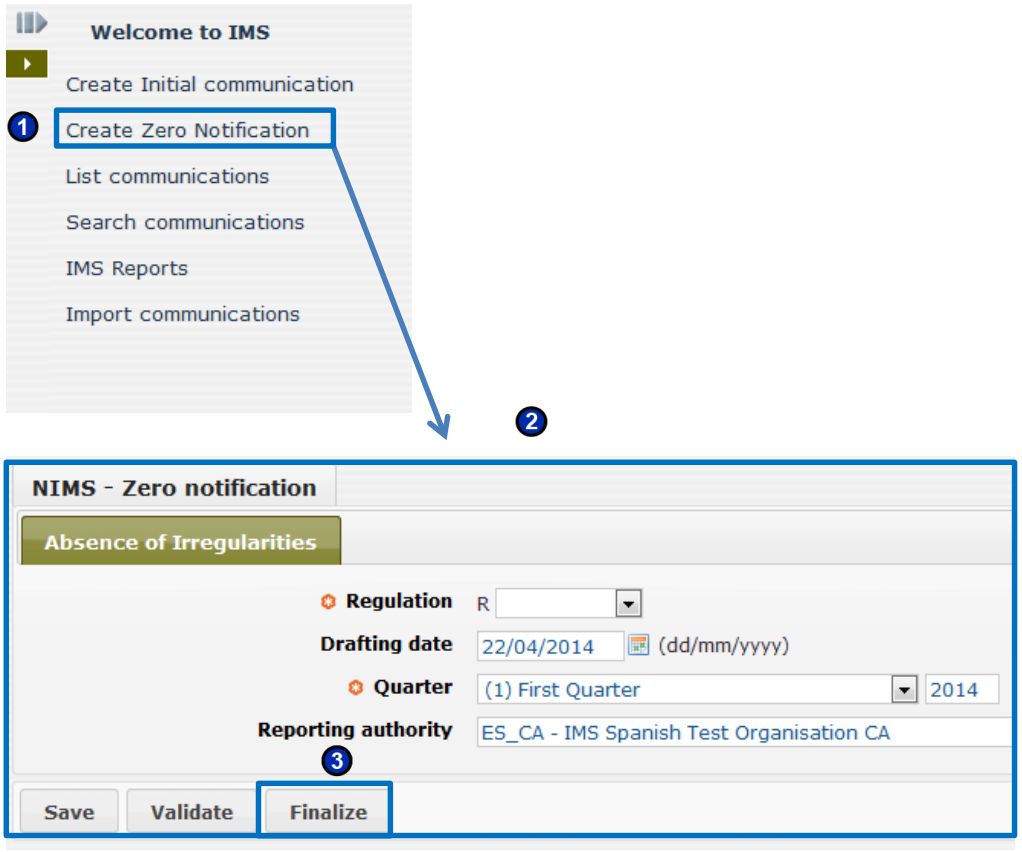


Figure 36: Create Zero Notification

Users with manager rights can create a 'Zero notification' which notifies OLAF that there are no irregularities to report in a certain reference period.

To create a Zero Notification:

1. On the IMS Homepage, click 'Create Zero Notification'.
2. Provide the necessary details.
3. Click **Finalize**. If you have manager rights, Click **Send**.

You must enter the following data:

Regulation
Select the regulation under which the communication that you want to create a 'zero notification' for was created.

Drafting date
Enter the date on which the zero notification was finalized.

Quarter
Irregularities have to be reported within 2 months after the quarter in which they were detected. In this field you need to enter of which reporting quarter a communication is part. Selecting the quarter from the drop-down-list and enter the year in four digits (e.g. 2014 or 2015). IMS provides the running quarter. This t

Reporting Authority
The name of the reporting authority that you as the creator of the zero notification is part of.

19. Reports

19.1 Reports– visualisation of information

From 2013 onwards, you have the possibility through IMS to perform some standard analyses and to visualise them. The reports are created automatically by the system, without any interference by OLAF staff. Therefore, it is important that the data you provide is of good quality. In other words, data quality and data reliability become even more crucial.

The number of analyses and the number of reports are still limited but will increase over the years.

The following data is included in the reports:

- Count of irregularity cases
- Total Expenditure amount (EU share in EUR)
- Total Irregular amount (EU share in EUR)
- Ratio (%) Irregular amount/Expenditure amount (EU share)
- Available filters
- Regulation (1848, 1828, …)
- Reporting Country
- Year of the case
- Irregularity Classification (IRQ2, IRQ3, IRQ5)

Cancelled cases (IRQ0) are not taken in account when generating reports.

All amounts are reported in Euros. Other currencies are converted to euro based using the official conversion rates at the time the communication was created.

19.2 Accessing Reports

To access the reports (see Figure 37: Reports view):

1. Click IMS Reports on the IMS homepage.
2. The reporting page is displayed.

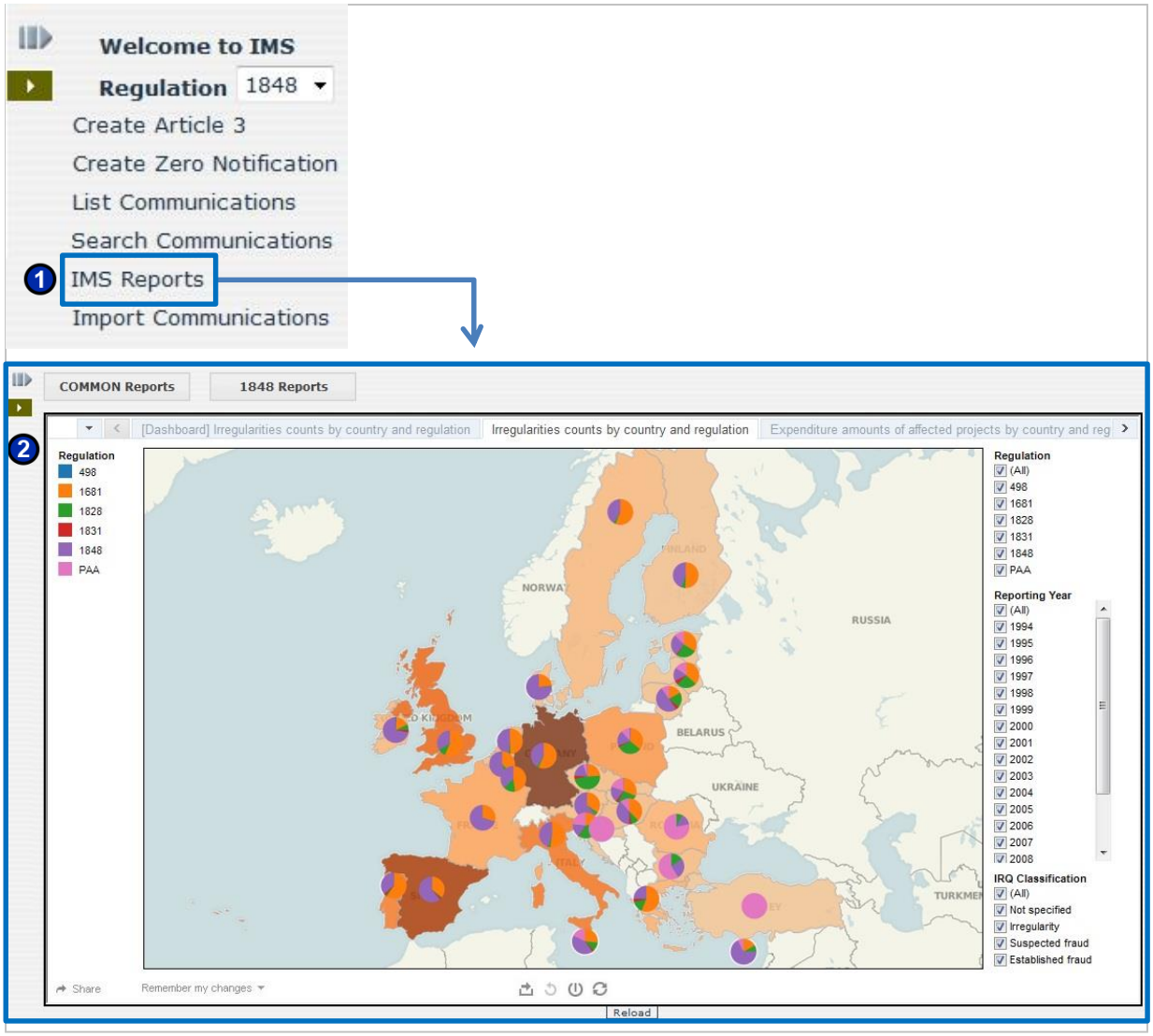


Figure 37: Reports view

19.3 Common and Specific reports

Some reports are valid for all the regulations and accessible to all IMS users. Other reports are specific to one regulation and are accessible to users having access to this regulation.
Common reports are displayed by default when you go to IMS reports. The following reports are common for all modules:

- The number of irregularity cases per regulation
- The expenditure foreseen for the operation (EU share only) per regulation.
- The amount affected by the irregularity (EU share only) per regulation.
- The ratio between the expenditure foreseen for the operation and the amount affected by the irregularity.

Per regulation, there are also specific reports available to you. Which reports are available to you depends on your user rights. Please refer to the module's user manual for the reports that are specific for that module.

19.4 Selecting Reports

There are several reports available to you. You can switch between reports in the following ways:

- Several tabs are displayed at the top of the reporting section. (See Figure 38: Selecting reports). Click them to view the report (1). If there are more reports available than can be displayed, click the arrows on the left and right (2) to view the other reports.

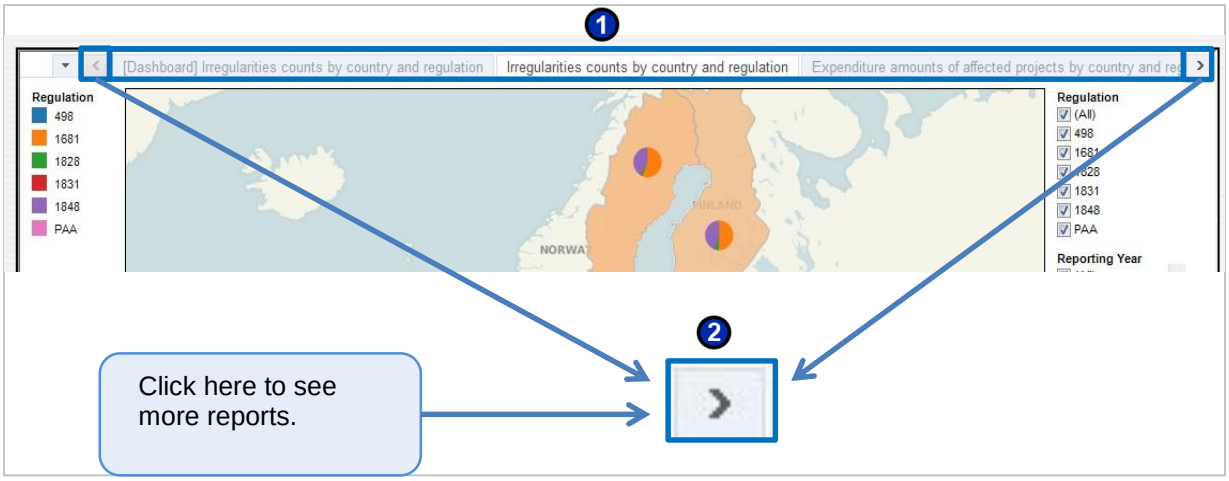


Figure 38: Selecting reports

You can also use a drop down list to switch reports:

- Click the drop down list on the top left of the reporting section (see Figure 39: Selecting reports from the drop down list) (1). All the available reports are displayed in the list. Select which report you want to see (2).

Figure 39: Selecting reports from the drop down list

19.4.1 Switching between reports

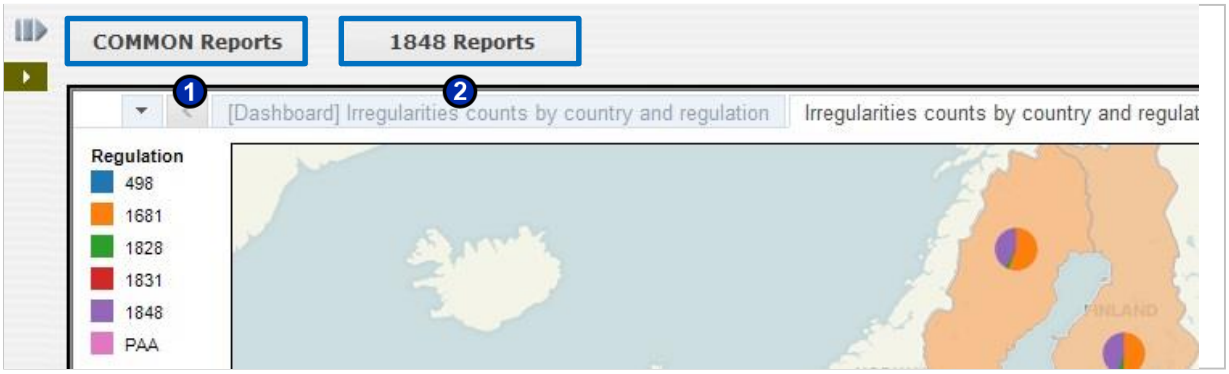


Figure 40: Switch between common and specific reports

You can switch between 'Common reports' and report that are specific to a regulation (see Figure 40: Switch between common and specific reports). Click 'COMMON Reports' (1) to view all reports that are common to all users. Click the other button (2) to view the reports that are specific to your regulation (in this case '1848 Reports').

Depending on your access rights you may have more buttons available for the other modules you have access to.

19.5 Report Types

The following types or reports are available:

- Map reports
- Bar chart reports
- Table reports
- Split view

We will explain the reports in more detail in the following chapters.

19.6 Map charts

Map reports consist of a map with pie charts. The pie charts represent reporting data. See Figure 37: Reports view for an example of a 'Map chart'.

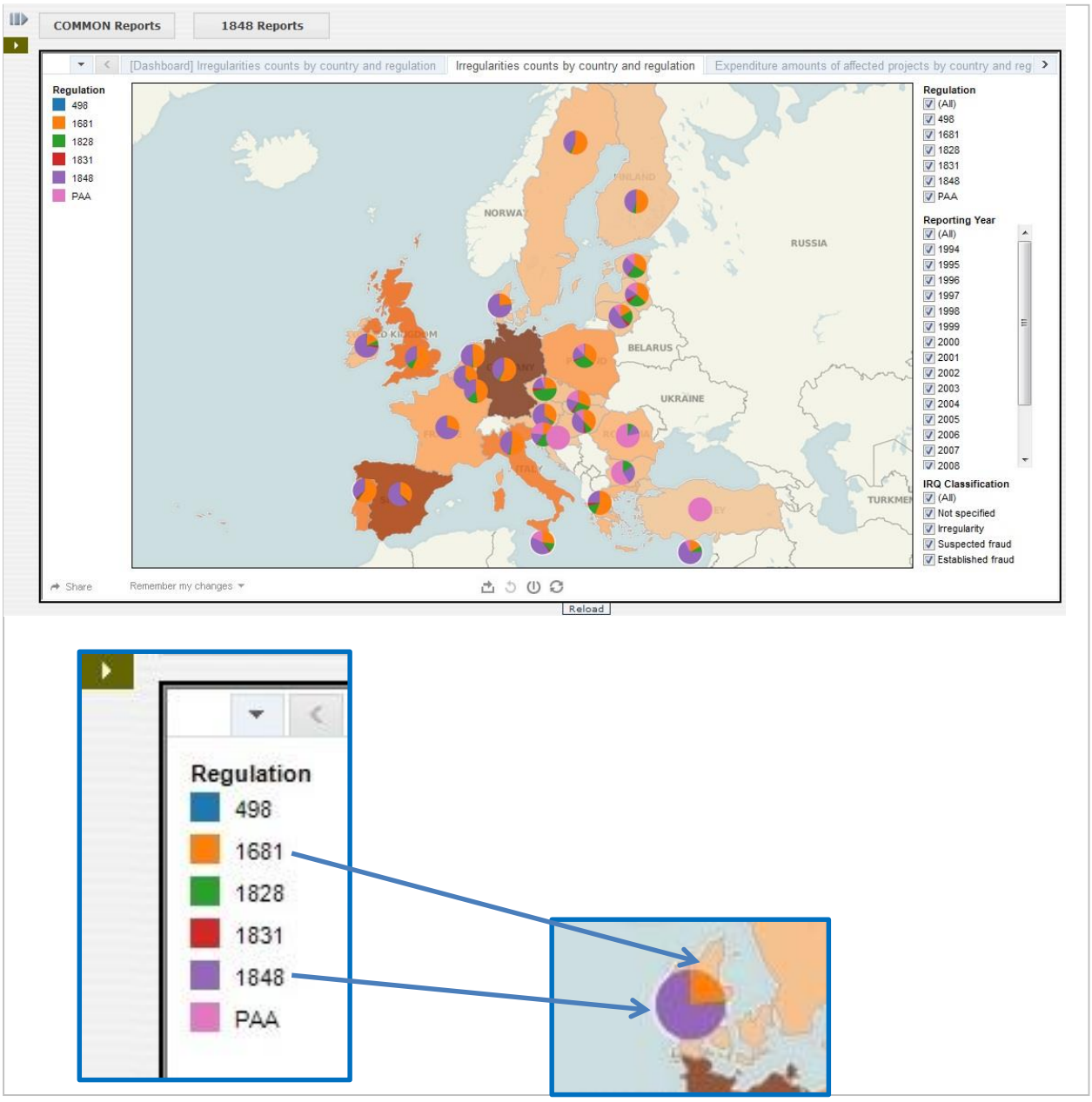


Figure 41: Pie chart legend

19.6.1.1 Using the Legend

The colours in the pie charts correspond to the colours in the legend on the left. For example in Figure 41: Pie chart legend, the orange section of the pie chart corresponds to the 1681 regulation (as indicated by the regulation section on the left). The purple section of the pie chart corresponds to the 1848 regulation.

When you click one of the regulations in the legend (see Figure 42: Pie chart legend options) (1), some hidden options will become available to you (2):

- 'Keep only' will show only the regulation that you selected in the pie carts.

- 'Exclude' will exclude the regulation from the pie chart.

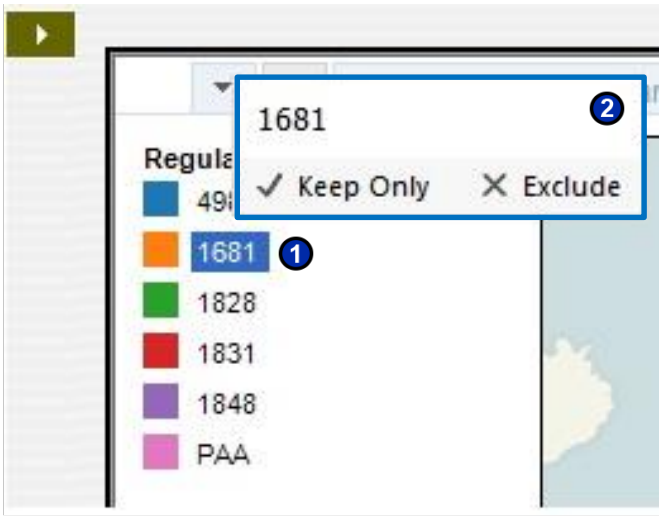


Figure 42: Pie chart legend options

19.6.1.2 Zoom in, Zoom out or Move a Map

The map reports also have zoom-in and zoom-out functions. To display these functions, move your mouse over the map. A grey box with several buttons will appear (see Figure 43: Zoom options).

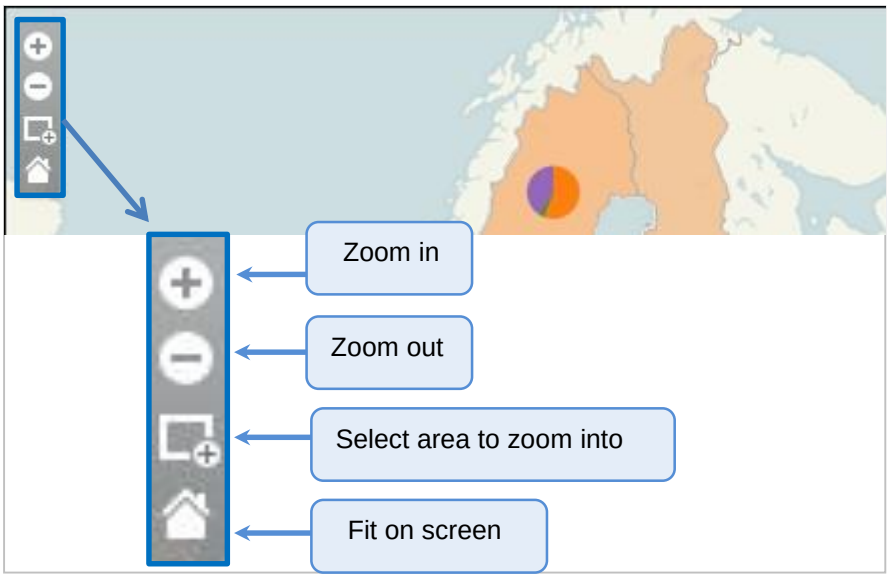


Figure 43: Zoom options

The available options are:

Click this button to zoom in.

Click this button to zoom out.

Click this button, and drag the mouse across the map to select an area that you want to zoom into.

Click this button to fit the map in the window (this resets the map to its initial size).

You can also move a map:

19. Hold the **Shift** key and left-click the map. Do not release the mouse.
20. Move the mouse to drag the map.

19.6.2 Bar Charts

A bar chart uses horizontal bars to show comparisons among categories. The bar chart below (Figure 44) displays the irregularities count by budget. For example: in the second line you can see that there were 3 irregularities in budget year 1991 under budget post B01-10 article B1-10/42.

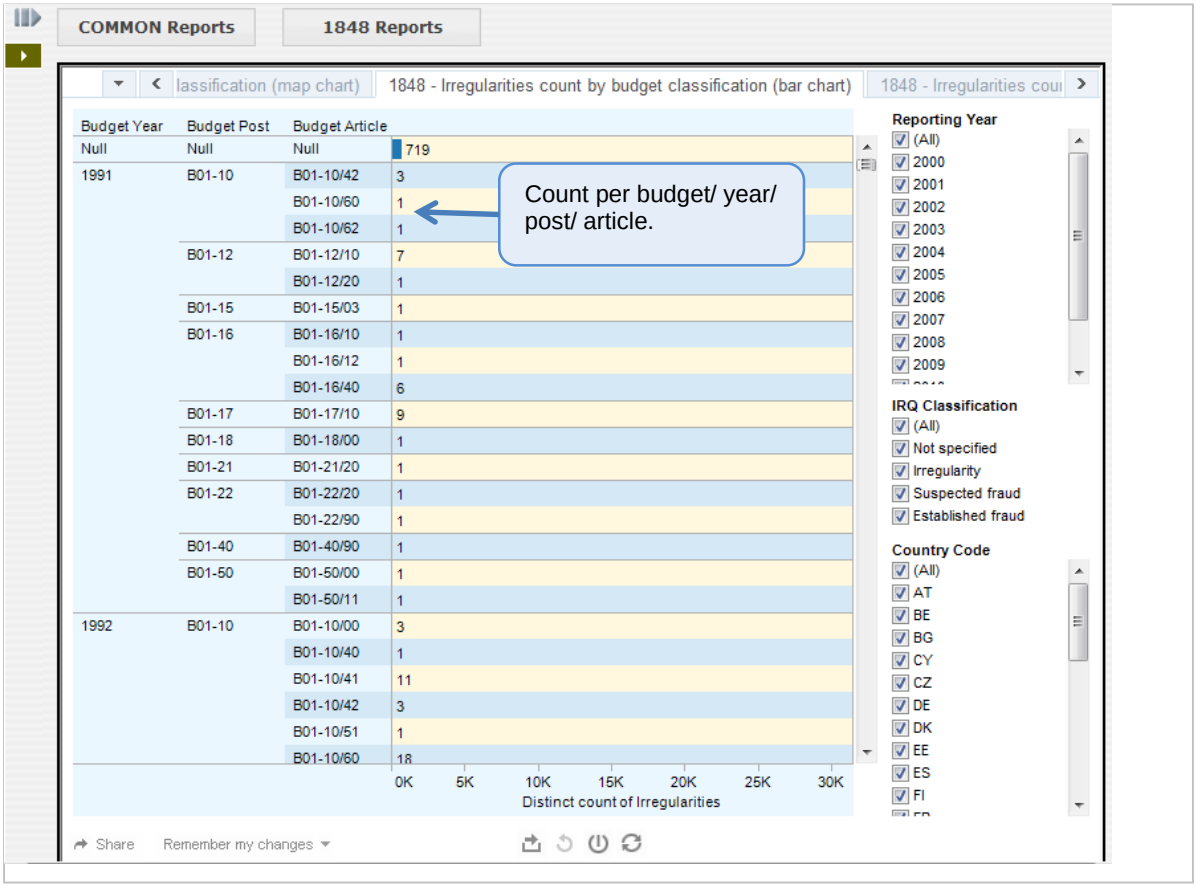


Figure 44: Bar chart

19.6.3 Tables

Some reports are generated as tables. See Figure 45: Table.

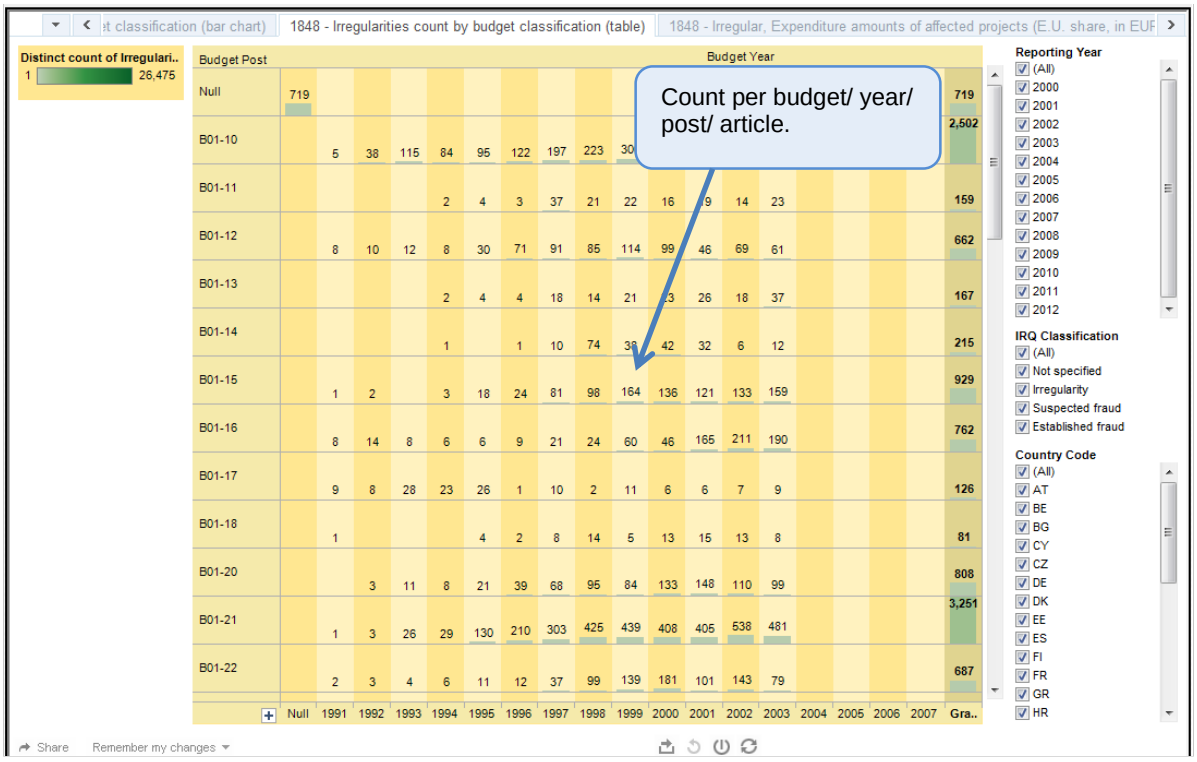


Figure 45: Table

19.6.4 Split charts

A split chart combines two types of charts, for example a map at the top and a bar chart at the bottom. In the example below (Figure 46: Split view), two sets of information are displayed simultaneously: the map displays 'irregularities country by country', while the bar chart displays 'budget classification'.

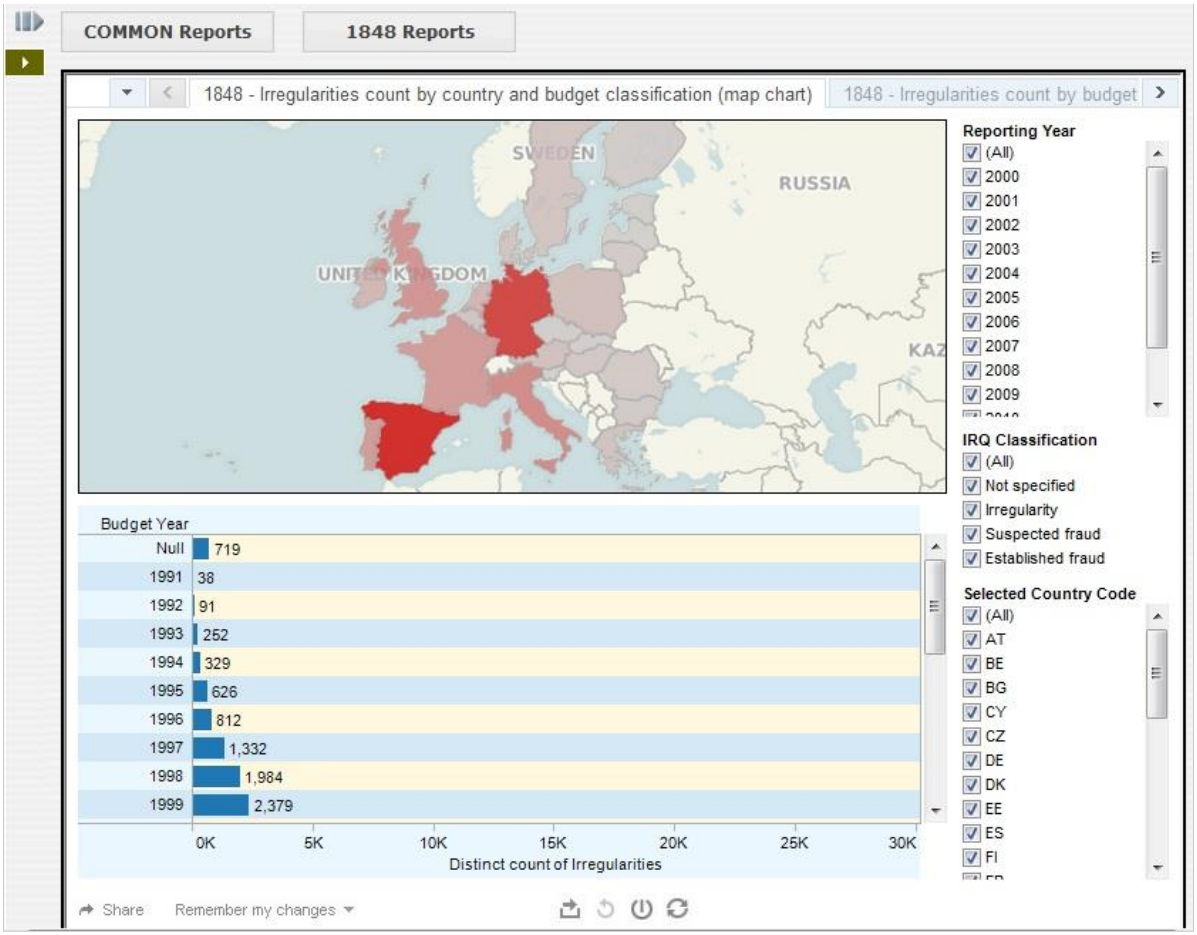


Figure 46: Split view

19.6.5 Sorting bar charts and table charts

To sort the order of a bar chart:

21. Move your mouse over any of the chart headers.
22. An icon will appear ( ).
23. Click it to toggle between ascending and descending order.

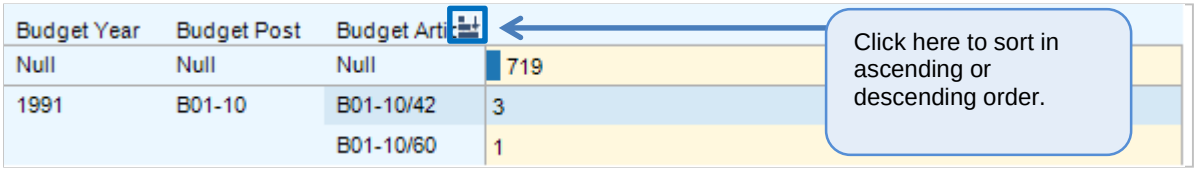


Figure 47: Sort bar chart

19.6.6 Expanding and collapsing bar charts and tables

You can expand and collapse each table column or bar chart column.

To collapse a column (see Figure 48: Collapse a column):

- Move your mouse over any of the columns.

- A button is displayed (1).
- Click it to collapse the column (2).

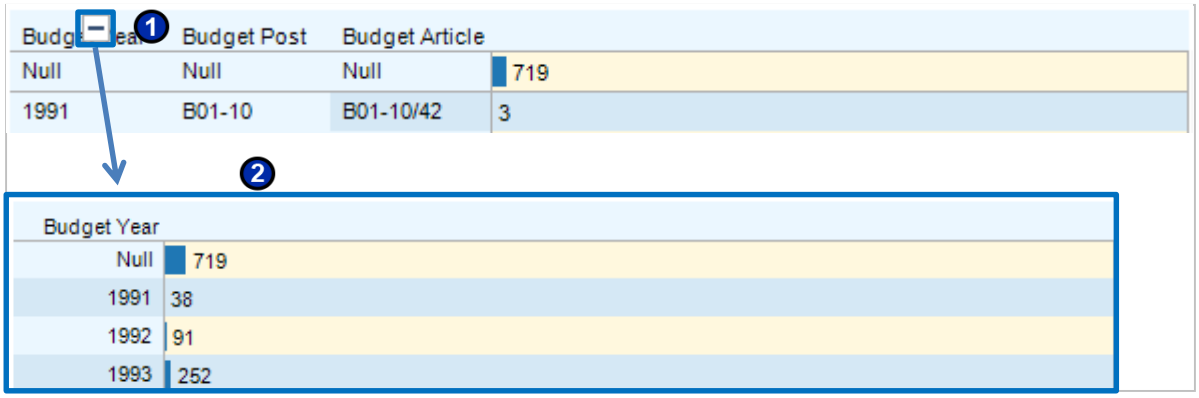


Figure 48: Collapse a column

To expand a column (see Figure 49: Expand a column):

- Roll over any of the columns.
- A symbol will appear if any columns next to that column are collapsed (1).
- Click it to expand the collapsed column (2).

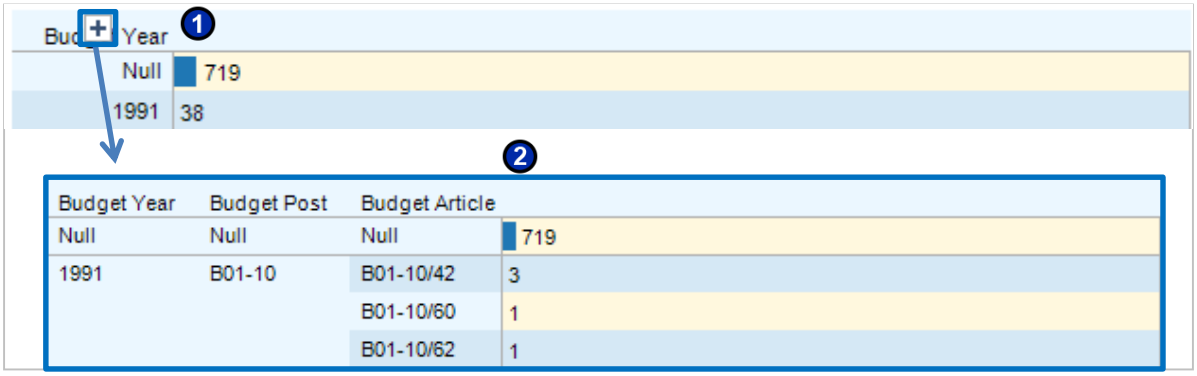


Figure 49: Expand a column

19.7 Filters

You have several filters available to you depending on your user rights. They enable you to reduce the amount of information displayed on the central view. Unchecking an element in the filters removes the information for this category on the central view. The following filters are available to all reports:

- The regulation: select which regulation should be taken into account in the report.
- The year of the case: select which years you want to take into account in the report. For example: you can include only data from 2002.
- The classification of the irregularity: irregularity, suspected fraud or established fraud.

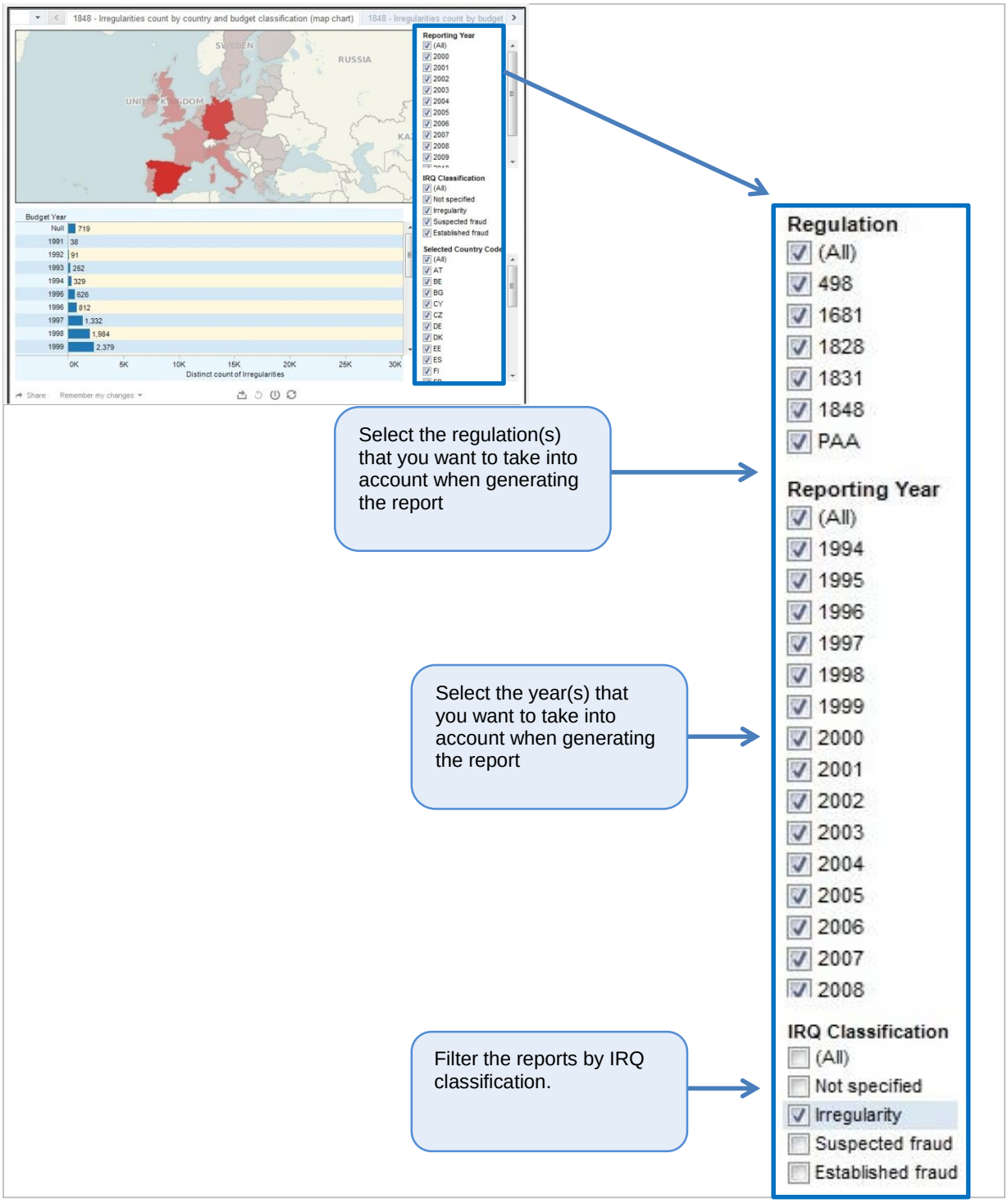


Figure 50: Sections in the reports view

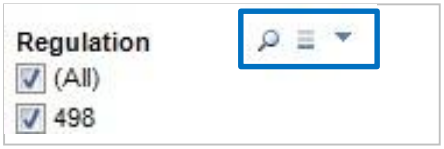


Figure 51: Filter configuration

When you move your mouse anywhere in the filter section, several hidden options will become available to you:

When you click this button, a search field appears. Use it to search for any kind of filter.

Click this button to show more or fewer values

Click this to display a dropdown field form which you can select the way the filter lists should behave.

Options include:

- Single: you will only be able to select one item per filter group
- Multiple: you can select several items by filter group (this is the default setting)
- Inclusive: every filter that you select will be included in the report (this is the default setting)
- Exclusive: every filter that you select will be excluded from the report.

Figure 52: Filter list behaviour options

19.8 Data Related Options

There are 4 options available to you at the bottom of the page (see Figure 53: Other features):

24. Export: you can export in the following formats:

Image: a .PNG image is generated.
Data: a new window is opened with all the statistics as text. Click the 'Download all rows as a textfile' to download the generated report as a .CSV file.
Crosstab: an CSV file is generated.
PDF: a .PDF file is generated.

25. Revert all: when you select this option, the 'Regulation', 'Reporting year' or 'IRQ classification' fields are set to default (i.e. all check boxes are ticked). Any changes you made in these fields are undone.

26. Pause automatic updates: The system automatically updates the generated report. Click this button of you want to stop automatic updates.

27. Refresh data refreshes the page report to include the most current data from the IMS database. It is possible that you may not see the latest submitted communications in the reports. This is because the database is refreshed based on a frequency defined by the admin.

For example: if a search results in 10 communications, you may not see all 10 communications included in the report. This is because some of the communications were created recently and are not included in the database yet.

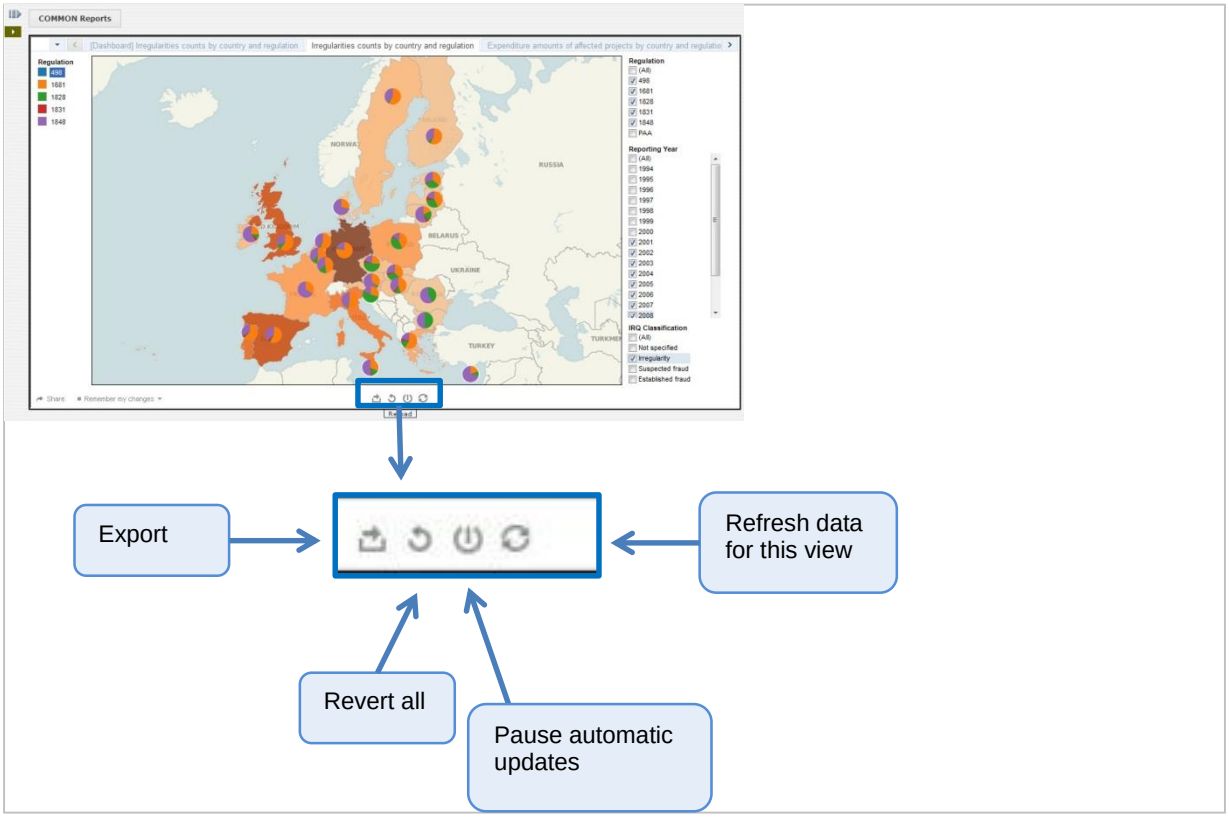


Figure 53: Other features

The reload button refreshes the entire page (see Figure 54: Reload button).

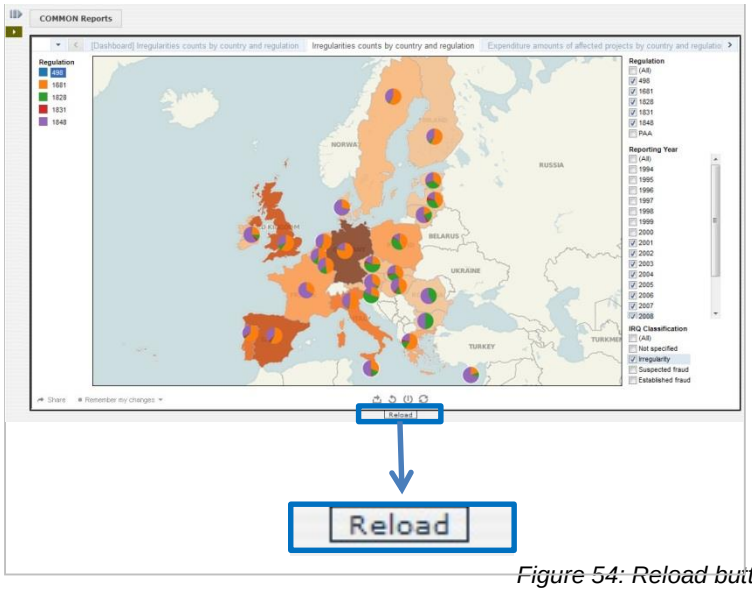


Figure 54: Reload button